Decentralising the Monitoring of Development Intervention

From Donor-Supervision to Local Government Impact-Monitoring

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Decentralising the Monitoring of Development Intervention:

From Donor-Supervision to Local Government Impact-Monitoring

by

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A Research Report

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1. Introduction

The overall aim of this Research Report is to sum up my theoretical as well as practical experiences with monitoring and evaluation of development interventions for more than a decade. Having worked as a researcher at the Department of Development and Planning, Aalborg University in Denmark, with international development studies since 1975 up to 1996, and for several years in between as an adviser in Bangladesh and Uganda for Danida[1], the experiences of monitoring and evaluation have accumulated for myself, as indeed for the partners in the development process. Thanks to the Danish Research Council for the Developing Countries, I was given the privilege for a while to be able to reflect on these experiences, and try in a systematic way to present an outline of development and conclude, if possible, on the positions and options as of to-day for improvement.

The report thus, at this stage, serves two purposes: it shall offer a chance for others to understand my critique of the status of monitoring of development interventions, and to be inspired of the suggestions for alternative solutions, that I have outlined, - hopefully feeding back some useful comments; and for myself, it has already assisted me in structuring the various attempts to build up a comprehensive overview and insight of the theories and practices of the donor agencies' monitoring and evaluation systems, as well as initiating the ideas for alternatives, and the practical testing of these.

As the process of establishing this overview and creating alternatives has not been a straight-forwarded , linear process (in particular in time), the back-up research material and other data for the report is illustrating the piece-by-piece approach. Rather than trying at this stage to streamline all the detailed, intermediate data into one comprehensive, elaborate presentation, I have chosen now to report on the research project in an introductory and concluding chapter, and let the accompanying Annexes represent some of the details and materials, which in a future work may be elaborated, edited and up-dated. Presently, they will provide the reader interested in some of the specific details of the reflections or experiences from the field the necessary information or reference for further study.

1.1. Theories and Concepts

Development assistance as a donor intervention emerged as a by-product of the Bretton Woods agreements in 1944 with emphasis on US-assistance to war torn Europe, and continued intervention by the colonial powers to their colonies. From the beginning of the 60s, with the advent of the many new, independent nations, new donors embarked upon development assistance, in essence based upon the economic theories of Walt Rostow a.o.[2] of supporting the poorer or underdeveloped countries , and not only their former colonies, through the stage of 'take-off into self-sustaining growth' by investments and development assistance.

However, although academic research on the results of the aid interventions, of which most were organised as specific short term ad-hoc 'projects', occasionally was undertaken (characteristically in some cases with scaring effects on the aid bureaucracies[3]), the lack of substantive evidence in particular available to the donor countries of the effects or impact of the interventions was conspicuous after about 20 years of development interventions. The issue: does aid work?[4], was increasingly and effectively being raised, and international development assistance has become exposed to criticism from both the political right and left.

A major reason for this has been the absence of well-functioning national statistical bodies which are able to deliver data on social or economic changes, even within the intervention area of a given project. Another reason has been the mode of intervention itself, i.e. the 'project'-approach. One response of bilateral and multilateral aid agencies was to give added emphasis to evaluation. By the beginning of the 1980s, the evaluation function became institutionalised, and most aid agencies established evaluation units within their administrative structure[5].

Initiated by the United Nations ACC Task Force in 1984, a consensus on the understanding and definition of the evaluation function as a "process for determining systematically and objectively the relevance, efficiency, effectiveness and impact of activities in the light of their objectives". However, it was added: "It is an organisational process for improving activities still in progress and for aiding management in future planning, programming and decision-making"[6]. A more precise definition, emphasising the evaluation as a periodic assessment including comparisons requiring information from outside the project in time, area or population, has been made by Casley and Kumar[7]. Through the deliberations of the solely donor-composed OECD's Development Assistance Committee (DAC), and in particular by the Expert Group on Aid Evaluation, a technical sub-group established in 1982, consisting of the Heads of the Evaluation Units of the donor-members[8], the consensus on the evaluation function and its modes of operation was communicated widely. Although 'management' primarily was seen as the donor's higher levels of decision-makers, some benefits of involving the recipient countries in the evaluation process were acknowledged[9]; in reality, the donor agencies very seldom do so[10].

Similarly, the understanding and definition of the monitoring function was seen as "the continuous or periodic review and surveillance (overseeing) by management at every level of the hierarchy of the implementation of an activity to ensure that input deliveries, work schedules, targeted outputs and other required actions are proceeding according to plan[11]", or with the words of Casley and Kumar: "a continuous assessment both of the functioning of the project activities in the context of implementation schedules and of the use of project inputs by targeted populations in the context of design expectations" with the additional emphasis: "It is an internal project activity, an essential part of good management practice, and therefore an integral part of the day-to-day management[12]".

While most agree, that the two functions of monitoring and evaluation are clearly related, and e.g. a midterm evaluation will basically have the same function as a monitoring review, while the monitoring data feeds the evaluation assessment, it is normally concluded, that although they may be considered as a continuum along several dimensions rather than distinct activities[13], they may best be seen as distinct but related activities[14].

In theory, the monitoring is thus confined to following the service-delivery and the immediate outputs (physical and financial 'progress monitoring') and in some cases, the utilisation of the outputs ('effect monitoring'), leaving the measurement of the intermediate and long term results, the 'impact' to the evaluation function. To establish a well-functioning monitoring system, even in this narrow sense, is in itself quite a demanding task, and it is understandable, that most donor-funded projects or programmes have concentrated their supervisory resources and efforts, if at all available, on this function.

In addition, evaluation, and in particular the key part of it, which constitutes 'impact analysis', i.e. 'the assessment of the effects of an intervention on its surroundings'[15], is not easy to

undertake. First, it has to be identified, if any changes has occurred, since the intervention was initiated. This demands for a baseline survey plus later data-gathering, which is cumbersome. Secondly, a causal linkage has to be established between the intervention and the changes observed. As shown in Annex A and Annex B, this is not easy theoretically as well as practically.

The first theoretical problems lie mainly in the difficulties of establishing controlled experiments of before-and after situation, or better, experiments of with-and without interventions. Secondly, the gradual and long term perspectives of social development make it necessary to observe the changes over several years, and in particular to measure the results, maybe at least 2-3 years after the intervention (most frequently, a project) was completed, which further complicates the creation of linkages. And, since the monitoring and evaluation as often is linked to or implemented by the same project-organisation, in practical terms, the evaluation, if carried out at all, will be a one-time 'snap-shot' of a situation, which is difficult to interpret, in particular in relation to understanding projects of rural development as a qualitative process[16]. The last limitation is important, as this study primarily relates to monitoring and evaluation of development programmes/projects having an area-(or national) focus, while it is less relevant for non-programme aid (structural adjustment, relief, policy-advice, balance of payment-support, etc.).

With the introduction of sector programme support (or sector wide approached)[17], the need for specific sector-wise monitoring and evaluation has become imminent, and considerations are on-going of how to set up monitoring units in the central line ministries. However, the theoretical problems of establishing causal relationships are not eliminated; and while the time perspective of the programmes most often is longer than those of the projects, the linkages to specific donor-funded programmes and programme implementation units are essentially as problematic as those of project linkages.

1.2. Practices of the Donors

What is more, as shown in Annex C, D and E, evaluations, and especially ex-post evaluations (understood as studies at least 2 years after the completion of the intervention) are rarely carried out. This finding is not a new one, but shown by several authors[18], describing the present situation. What is most surprising, is, that although some clues of changed organisational response or new strategies are aired, experiments or actions of alternatives are limited, especially when it comes to the institutional anchorage of the monitoring and evaluation.

Annex C refers to this situation, and give additional information on the procedures of a number of major donors. In Annex D, the Danida-rules are in particular looked into. And Annex E summarises the results of a larger data based study of all Danida-completed or on-going aid projects from 1962 to 1992, and the respective evaluations of these projects, made by this author as part of the present research project. Of the 991 completed projects during this period, only 8 or 0.8 % had been evaluated ex-post by January, 1992, while 39 or 3.9 % had been part of a final evaluation. More had been part of a sectoral evaluation, but overall, it was only 218 (14.4 %) projects out of 1.516 (completed or on-going), which had been evaluated in one way of the other.

One may question, why so few evaluations have been made? - and answers referring to fear of the results, lack of interest from the politicians, and the administrators' priorities and preoccupation with the planning and implementation of new projects, may be suggested. In any case, to-day, in the light of the increased criticism of aid[19], new approaches have to be found.

To be able to respond to the increased criticism and expectations of the Danish tax-paying voters, a performance indicator system of aggregated uniform measures of outputs of the Danish bilateral development assistance within the major sectors of assistance in the 20 programme countries is now being tested. Subsequently, it is the intention to develop indicators aimed at monitoring outcome/impact of the sector programme support[20]. The outlined system presents very interesting suggestions for specific indicators within agriculture, education, environment, good governance, health, infrastructure, and water and sanitation, as well as an elaborate system manual. However, when it comes to data collection and registration, operation, submission and processing of data , it relies only on the Danish Embassy staff (or contracted expertise), the Sector Advisers, and the internal procedures of Danida. There is no indication of how the national authorities of the programme countries are involved[21].

Thus, although the new Danish indicator system includes a quite open attitude of uniform output indication collection and public presentation and easy access to the data (available on the Internet at the ministerial homepage), the ownership of the system is that of the donor. And as it still essentially an output indication system, the stipulation of causal linkages between the specific donor interventions and the national effects are far from any indication.

1.3. Closing the Gap between Monitoring and Evaluation

Obviously, the donors as well as the recipient countries need satisfactory documentation of the developments in living standards, agricultural production, population, etc. Central statistical institutions would under other circumstances cater for this. However, even while such institutions may deliver satisfactory, overall national information, it takes deliberate and long term efforts before relevant, valid and sufficient information is available on an area-wise basis, i.e. for the use of both the donor, operating within a given project-area, and for the local administrative purposes. As often, central statistical data will be based on random or stratified sampling, and until many years to come, not including sufficiently large samples, collected from the respective local areas, and able to deliver representative local data. Local area-wise break-down of national data simply do not exist. This is why e.g. attempts to monitor the poverty situation on a national basis in Bangladesh[22] may be very interesting at a global level, but will fail to deliver sufficient information useful for the assessment of the situation within the respective local areas. Similarly, sector-wise data is also frequently lacking.

When considering how to provide the local area developmental information, the key question will be: For whom is the monitoring made?. Donor-managed aid interventions have demanded monitoring reports, which are useful for the donor management and decision-makers. At the same time, it will be useful for the local administration and the target group of most programmes. In any case, there is no way, resources will be available for extensive, academic research-based, on-going systems. So low-key, simple, but continuous systems are looked for. How to organise such a monitoring system, based upon the local knowledge, is the

suggestions of Annex F and G, as they were elaborated for Danida on a trial basis in 1988[23], in particular inspired by the debate and experiments with Participatory Rural Appraisal, Rapid Rural Appraisal, etc,[24].

The 'model' (detailed in Annex G) includes both progress monitoring, effect and impact-monitoring, placing the main responsibility for the monitoring at the local institution level as regards implementation, on-going data-collection, scheduled and regular reporting and the sustaining of the monitoring, while the role of the donor is advisory, supply of resources during establishment, maybe support to the maintenance, and at the same time utilising the produced reports and results of the monitoring for his own purposes. Another main point is to close the gap between the monitoring and evaluation by providing impact-monitoring data right from the beginning of the programme activities, thereby both establishing a baseline, but more important, to measure the development throughout and beyond the project period and thus facilitating the later final-and ex-post evaluations.

1.4. Testing the Model 1: A Project Implementation Unit System

Annex H details the practical testing of the 'model' by the Monitoring and Evaluation Unit of the Danida-supported Noakhali Rural Development Project (NRDP) in Bangladesh through 1988-91. The steps included a 2-staged stratified selection of 10 villages (5 NRDP and 5 non-NRDP), the identification, selection and training of 20 'village-reporters' (1 female and 1 male in each village), and the selection of topics such as development in population, employment, production, social relations, health-and nutrition, and infrastructure. Further, the design and production of questionaires, fielding, supervision by the professional staff of the unit, collection of data, processing, analysis and reporting. By the end of 1990, the system was functioning, the 20 village-reporters were collecting data every month in a regular sequence, and about 10 reports had been delivered or were being produced.

However, as based within a Project Implementation Unit (PIU), the fate of the system was as per definition linked to the project, and non-sustainable. First, the arrival of a new expatriate Adviser implied a change in priorities, and the planned extension to 20 villages, giving the coverage a better statistical and ecological-zone representation, was not carried out. Secondly, as the 3rd phase of NRDP was not agreed upon by the Bangladeshi and Danish governments, the project was phased out in 1992, including the monitoring and evaluation of the effects and impact of efforts through 16 years, involving more than 200 ex-pat man-years[25]. By 1993, only archives were left.

In Annex I and J, the experiences from other projects in Bangladesh and Tanzania respectively, are observed. The results are mixed, and those linked directly to donor-funded activities as Project Implementation Units may also have been phased out to-day. In Tanzania, however, several were somehow more closely linked to the existing structures of local government, which provide a more positive perspective. Still, the donor's use of the systems is limited.

1.5. Testing the Model 2: A Local Government System

The experiences in general of Danida as a donor for support to multisectoral area-

development programmes, and in particular from Noakhali lead to a different approach, when designing the Rakai District Development Programme (RDDP) in Uganda by the late 1990s[26]. In line with the national decentralisation policy of Uganda, instead of creating a PIU as responsible for the management and operation of activities, planning was made in co-operation with the local government of the Rakai District, and implementation responsibilities were placed with a number of institutions and organisations, among which the most important was the Rakai District Council. And as a consequence, a monitoring and evaluation system was set up, designed and implemented by the ordinary District Planning Unit, part of the Rakai District Administration.

In Annex K is described the Village-Wise Impact Monitoring System (VIMS) of Rakai. In principle, the same 'model' as applied, when tested in Noakhali as a PIU, has been implemented. The objectives are:

- to monitor major socio-economic topics related development and longterm changes in the standard of living of the rural population;
- to provide simple, but reliable data on the wider and more indrect results of the District- and RDDP-interventions;
- to supply on-going information in a rapid and sustainable way at relatively modest costs;
- to rely on local knowledge and reporters, supervised by local professionals;
- to report at regular, scheduled intervals,
- to establish a District-monitoring system, reflecting changes in a dynamic way;

The substance are changes in population, production and other economic activities, education, health-and nutritional status, social welfare and infrastructure. Selection of 10 villages, observing criteria such as occupational and socio-cultural distribution, county-wise share of the population, size of the village and availability of qualified village-reporters, were carefully made during late 1994, taking into account the experiences of NRDP. After initial identification and recruitment, training of the 20 village-reporters has been imparted through a number of seminars, the latest being conducted whenever a new study-topic is prepared, thus involving the village-reporters directly in the design of the questionnaires and the practical fielding. By mid-1995, the first reports on the initial population census, and the institutional village settings had been presented to the District Development Committee, a subcommittee of the District Council[27].

When compared with the 1st model, the Project Implementation Unit, two major differences are remarkable. First, of course, the organisational responsibilities in Rakai rest with the ordinary institution, the local government administration through its Planning Unit, headed by the District Planner (an Economist), and staffed by the District Statistician, the District Population Officer and a District Economist[28] plus a few supporting staff members, all of which are civil servants of the District administration. The funding of the system is an integrated part of the District budget, although at the moment partly supported by the donor. This promises a sustainable maintenance and development of the system. Secondly, the primary end-receivers of the information are the political leaders of the District (and intentionally, the involved village-beneficiaries), ensuring accountability and anchorage of the monitoring products. At the same time, the donor relies mainly on this system for his purposes of monitoring the impact of the programme, formalised by the incorporation of the system in the Appraisal and Programme Documents for RDDP-2[29].

Whether the sustainability of the system is sufficiently ensured, even beyond the immediate

programme period, is still to be seen. As noted during a specific review of the planning and monitoring systems of the district[30], it was recommended by an external consultant, that the village-wise impact monitoring system should be transferred into a purely research project. However, it was agreed by Danida and the district during the Annual Reviews of 1997 and 1998 that it was important to sustain the continuation of the impact monitoring within the district administration itself. As the system is now based here, its fate of course will lie with the smooth functioning of the ordinary district organisation, i.e. the local government. And as the recent local elections in Uganda show, local governments do have to account for their results, and the public awareness of outcomes of development activities is growing. The need for locally owned monitoring systems is thus being established.

1.6. Linking-Up: Local Government, National Bureau of Statistics and Donor

As noted by way of introduction above a major reason for the lack of evidence of the effects of the development interventions is the absence of well-functioning national statistical offices, and in particular bureau which are able to deliver valid data on the effects observed within each of the relevant specific local areas, e.g. a specific district. Strengthening the capacity of the national statistical offices to collect, process and not least timely disseminate readable reports of the changes in the general living conditions of the population is thus an urgent task. This has also been tried by several donor-funded programmes, but often as a sector-wise intervention e.g. to provide macro-economic-, health- or income-related data.

An obvious approach to provide more broad-based information of the poverty changes is to try to link-up the data collection and data-provision at the local government level with a national system of data processing, analysis and reporting, either as collection of total coverage of data (e.g. on the population composition and size) or as locally valid sampling from each local government. Such a combined monitoring system of social statistics has now been designed for the new Uganda Bureau of Statistics (UBOS) in a co-operation project with Statistics Denmark, funded by Danida. Together with USAID support to 7 districts, the additional data-collection from 5 districts will enable UBOS at full stage to run a monitoring system including detailed information from more than 25 % of the local governments of the country. In Annex L the details of the support to the Districts' monitoring and social statistics system is outlined. Clearly, when the system is operational and delivering the information, the needs of the donors and the local populations for much more accurate feed-back will be substantially improved, as will the options for trying to make comparisons between those areas where interventions have taken place and those without. support, i.e. beginning to establish causal relationships.

1.7. Concluding Remarks

Through a gradual development of concepts and practice, an operational model for a monitoring and evaluation system has emerged from this study, where the responsibility for design and implementation as well as ownership has shifted from the foreign donor to the local government of the recipient country, and in a long term perspective to a combined national/local monitoring system. The role of the donor has been changed from sole decision-maker, implementor and supervisor to adviser, co-operator and co-receiver. In fact, the emphasis has shifted from producing the monitoring and evaluation results themselves, to institutional development and capacity building of monitoring and evaluation skills.

This is very much in line with other trends in the aid community. The DAC Expert Group of Aid Evaluation has set up a subgroup on Capacity Building of Evaluation, chaired by Danida[31]. SIDA has recently re-organised its Evaluation Unit, and sharpened the profile by amalgamation with the Audit Department, emphasising country-studies, policy- and other studies of non-programme aid, and cross-sectoral studies[32]. Similarly, in 1997 the Danish Evaluation Unit was de-linked from the Section of Research, Evaluation and Documentation and attached to the Head of Danida directly.

However, even though the intention to involve the recipient countries, local scientists and experts more in evaluation and direct the technical aid more to capacity-building for monitoring and evaluation activities is clear, still the present debate focuses mainly on the needs of the donor, and emphasises mainly the national level[33] of the recipient countries. Evaluation results and feed-back are seen as necessary for the aid agencies, while the accountability problems towards the general public in the donor countries are stressed. But more efforts should be made of decentralising the accountability to the general public of the local areas, where the programmes are fielded, and to provide the data and information which is needed for the accountability.

If proper 'accountability' in the form of impact-monitoring reports can be delivered by the local governments, then probably the general public of the donors will also be satisfied. It was found at the joint donor seminar in 1994 summing up the status of development assistance, including the monitoring of the interventions, that "Evaluation is often still too much a project-oriented management tool. Impact measurement, therefore, should be a central focus of evaluations in the coming years", and that "Donors should, at the risk of not getting the material they hope for, experiment with other techniques: self-evaluation also with quantitative criteria; participation by means of group interviews or group-evaluations; investing more in long time, even repetitive or time series, research, etc."[34]

How to organise such experiments of impact monitoring has been shown by this study: assistance should be provided to the capacity building of local monitoring and information systems, anchored with the local governments, and linked to national statistical offices. The donors may for some time utilise country-based indicator systems, but they are not sustainable, and they will not be able to provide locally valid data supporting the local public accountability. Maybe most important, the contributions of such systems to the debate on cause-effect will be limited.

Notes and References

[1].. The author joined the Danish International Development Assistance (Danida) as Technical Adviser (Institutional Development) in 1996. However, this Research Report is submitted to the Danish Research Council of Developing Countries in his capacity as a researcher, and does not reflect the views of Danida.

2.. Milikan, M.F. & Rostow, W.W.: A Proposal: Key to an Effective Foreign Policy, New York, Harper & Brothers, 1957; Rostow, W.W.(ed): The Economics of Take-Off into Sustained Growth, London, Macmillan, 1963.

3.. The first and only academic study on Danish aid was undertaken in 1968 as an ex-post evaluation of agricultural training schools in India through 1960-66, and caused considerable debate, as little impact from the assistance could be traced to the farmers' level. Reaction turned against the evaluation as such in the administration, in particular as an aversion towards ex-post evaluations, and in general towards social science development research. See: Schaumburg-Müller, Henrik: The Evaluation Policy and Performance of Denmark,

in: Stokke, Olav (ed.): Evaluating Development Assistance: Policies and Performance, London, Frank Cass, 1991; and Jørgensen, Ib: Mysore-Evalueringen i Retrospekt, in: Den Ny Verden, Copenhagen, Vol.7, No.4, 1972.

4.. The title of the extensive World Bank-survey of development assistance by Robert Cassen & Associates: Does Aid Work? Report to an Intergovernmental Task Force, Oxford, Clarendon Press, 1986.

5.. Stokke, Olav: Policies, Performance, Trends and Challenges in Aid Evaluation, in: Stokke, Olav (ed.): Evaluating Development Assistance: Policies and Performance, London, Frank Cass, 1991.

6.. United Nations ACC Task Force on Rural Development: Monitoring and Evaluation Guiding Principles for the Design and Use in Rural Development Projects and Programmes in Developing Countries, FAO/IFAD, Rome, 1984.

7.. Casley, Dennis J. & Kumar, Krishna: Project Monitoring and Evaluation in Agriculture, World Bank, John Hopkins, Baltimore, 1987.

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9.. The report of the joint seminar, held in March, 1987, is indicative, see OECD, DAC: Evaluation in Developing Countries: A Step in a Dialogue, Paris, 1988.

10.. Cracknell, Basil: Evaluation - A Code of Good Practise, Development Journal, February, 1990; Lawrence, John E.S.: Engaging Recipients in Development Evaluation: The "Stakeholder Approach", Evaluation Review, Vol.13, No.3, June 1989, pp.243-256.

11.. United Nations ACC Task Force, Rome, 1984, ibid.

12.. Casley & Kumar, Baltimore, 1987, ibid. p.2.

13.. As suggested by Binnendijk, Annette L.: Donor Agency Experience with the Monitoring and Evaluation of Development Projects, Evaluation Review, Vol.13, No.3, June 1989, p.206-222.

14.. Stokke, Olav & Lodewijk, Berlage: Evaluating Development Assistance: State of the Art and Main Challenges Ahead, in: Stokke, Olav & Lodewijk, Berlage: Evaluating Development Assistance: Approaches and Methods, London, Frank Cass, 1992.

15.. OECD, DAC: Methods and Procedures in Aid Evaluation: A Compendium of Donor Practice and Experience, Paris, 1986.

16.. Peter Oakley: Conceptual Problems of the Monitoring and Evaluation of Qualitative Objectives of Rural Development, Community Development Journal, Vol.23, No.1, 1988.

17.. As e.g. 'A Developing World: Strategy for Danish Development Policy towards the Year 2000', Copenhagen 1994.

18.. Most comprehensively by Riddell, Roger C.: Foreign Aid Reconsidered, ODI, James Currey, London, 1987, p.187; but also recognised by Stokke, Olav, 1992, p.20-21, and shown by studies of ODA, Danida, BMZ & GTZ, DGIS, NORAD and SIDA by respectively Basil E. Cracknell, Henrik Schaumburg-Müller, Stefan A. Musto, Enno W. Hommes, Olav Stokke and Kim Forss in: Stokke, Olav: Evaluating Development Assistance: Policies and Performance, Frank Cass, London, 1991

19.. The recently presented study of 37 post-evaluations of all completed Danida-projects in 1990 five years after their completion by Martin Paldam as part of a larger study, demonstrates the difficulties and enshrined

sentiments of trying to generalise from a rather limited number of specific projects. However, the increased public attention to results of the development interventions is also very clear. Martin Paldam: Dansk U-landsbistand. Altruismens politiske økonomi, Aarhus, 1997.

[20].. Danida: Guidelines for an Output and Outcome Indicator System, April 1998.

[21].. Ibid., p.10-12.

22.. See Rahman, Zillur Hossain et alt.: Rethinking Poverty: Dimensions, Process, Options. Analysis of Poverty Trends Project, A Report Submitted to the Like-minded Group of Donors, BIDS, Dhaka, September, 1991.

23.. Although Annex G here is the later version for Rakai District Development Programme, essentially the contents is the same as the one launched for Noakhali Rural Development Programme.

24.. See e.g. Chambers, Robert: Rapid Rural Appraisal: Rationale and Repertoire, IDS Discussion Paper No.155, IDS, Sussex, 1981; Cernea, Michael (ed.): Putting People First: Sociological Variables in Development Projects, John Hopkins, Baltimore, 1985.

25.. During 1977-84 the average no. of advisers was 16, from 1985-90 12 advisers and from 1991-92 6 advisers, not including short-term consultants.

26.. Nielsen, Henrik A.: Decentralisation Experience: From Noakhali to Rakai. In: Democratic Decentralisation in Uganda. A New Approach to Local Governance, by Søren Villadsen & Francis Lubanga (eds.), p.122-144, Fountain Publishers, Kampala, 1996.

27.. Rakai District Planning Unit: Village-Wise Impact Monitoring System: Profile of Ten Villages. Facilities and services. Household Facilities, Rakai, August, 1995.

28.. The designation was originally termed 'District Monitor' by the Rakai District Council, but as this term does not exist in the Uganda Civil Service, the designation of this female officer (by profession a Social Scientist and banker), was changed to District Economist.

29.. Ministry of Foreign Affairs, DANIDA: Appraisal Report: Rakai District Development Programme, Phase II, Copenhagen, June, 1995, p.35-36, and p.46-47.

[30].. Danida/Cowi: Study on Support to Rakai District Planning and Monitoring, May 1997.

31.. Ministry of Foreign Affairs, Danida: Danida's Årsberetning 1994 (translated: Annual Report 1994 of Danida), Copenhagen, 1995, p. 134, and information from DAC (Hans Lundgreen).

32.. Utenriksdepartementet, Kommittén för analys av utvecklingssammarbete: Analys och Utvärdering av Bistånd (translated: Analysis and Assessment of Aid), SOU 1994:102, Stockholm, 1994.

33.. Maddock, Nicholas in: On the Monitoring and Evaluation of Rural Development Projects Under Decentralisation, Development and Change, Vol.12, No.3, 1990, though arguing for monitoring and evaluation units at the district level maintains, that the clients of evaluation studies are the line and coordinating ministries at central level, and limits the district monitoring to inputs and outputs.

34.. Gocht, Werner, Hewitt, Adrian and Hoebink, Paul: The Comparative Effectiveness and the Coordination Efforts of EU Donors, Paper from the Feldafing Workshop, November, 1994, p.8-10.

ANNEX A:

Traditional Concepts of Monitoring and Evaluation

(from Henrik A. Nielsen: Monitoring the Development Intervention. An Alternative Approach to Impact Evaluation. Paper presented to the VIth General Conference of European Association of Development Research and Training Institutions (EADI), Oslo, June, 1990)

MONITORING THE DEVELOPMENT INTERVENTION. AN ALTERNATIVE APPROACH TO IMPACT EVALUATION.

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1. Traditional Concepts of Monitoring and Evaluation.

Identification and estimation of the outcomes of the activities of the development interventions implemented by the donor agencies is traditionally performed through the functions of monitoring and evaluation of the development activities. Since the mid-1970s with the emphasis on rural development and poverty alleviation, components of monitoring and evaluation have been included or prescribed for all assistance projects in one or another way, and guidelines and manuals of monitoring and evaluation systems are available in abundance from the different donor agencies 1).

At first there was no agreement on the usage of the concepts, terminology and use of the contents, but the establishment of the Panel on Monitoring and Evaluation in 1981 by the Task Force on Rural Development 2) promoted progress towards a consensus on definitions and methods. In 1984, the Panel issued 'Guiding Principles for the Design and Use of Monitoring and Evaluation in Rural Development Projects and Programs' prepared by the International Fund for Agricultural Development (IFAD), the convenor of the Panel, in co-operation with FAO and the IBRD. According to these 'guiding principles', "monitoring is the continuous or periodic review and surveillance (overseeing) by management at every level of the hierarchy of the implementation of an activity to ensure that input deliveries, work schedules, targeted outputs and other required actions are proceeding according to plan." (United nations ACC Task Force, 1984, p.13), and "evaluation is a process for determining systematically and objectively the

relevance, efficiency, effectiveness and impact of activities in the light of their objectives. It is an organizational process for improving activities still in progress and for aiding management in future planning, programming and decision-making." (United Nations ACC Task Force, 1984, p.14).

Contained in these definitions are the limitations of the monitoring as being only carried out during implementation, while the evaluation might be carried out as on-going evaluation during implementation, at completion of the activities as terminal evaluation or some years after the completion as ex-post evaluation. Dennis J.Casley and Krishna Kumar, while basicly supporting this position, point out (Casley & Kumar, Washington, 1987, p.2), that 'Guiding Principles' stresses the relationship between monitoring and evaluation while recognizing the distinctions between them, whereas they stress the distinction between the monitoring and evaluation functions while recognizing their related features. They disapprove of the use of the universal acronym "M & E" as it may imply a single function, and claim, that the monitoring and evaluation are seperated by their objectives, reference periods, requirements for comparative analysis, and primary users:

> "In many cases, the same data collection and analysis system will be used for both, and the indicators for monitoring may be included in the range of information required for evaluation, but they will be reviewed over a longer time span, with the use of comparative analytical techniques, and a larger group of users will be adressed" (p.8), and
> "Monitoring must be integrated within the project management structure, but evaluation with its wider horizons, is not necessarily such an integral component. Evaluation responsibilities may be located within a central unit at the national level." (p.9).

Similar, but less clearly formulated, are the general lessons of the experiences of the World Bank, as written by Warren C. Baum and Stokes M.Tolbert after more than thirty-five years (Baum and Tolbert, Washington, 1985). According to them,

> "Monitoring is a streamlined management information system, with the design of appropriate indicators an

> essential element"..and "Evaluation is an on-going activity to reassess project objectives and the means of achieving them in the light of experience and of new developments as implementation proceeds. It goes hand in hand with project monitoring, drawing on the information supplied through monitoring as well as special studies to reconsider project objectives and modify them accordingly." (Baum and Tolbert, Washington, 1985, p.362-63).

Apart from the on-going monitoring and evaluation thus described, they regard the ex-post evaluation quite seperately as an activity, which looks more broadly at the probable impact of the completed project in relation to original expectations, and which takes place at a later date, when investment costs are known, and some benefits have been captured maybe. (p. 381).

Finally, the position of the Danish International Development Agency (DANIDA) is also somewhat ambiguous. In November, 1987, a final draft of Project Guidelines for monitoring and evaluation was made defining project montoring as

> "the continuous gathering and analysis of information on actual inputs, activities and outputs, and their comparison with the project plans with regard to time, quality, quantity and costs. (..) Monitoring is an integral project activity and an essential part of good management practises." (Danida Guidelines, 1987, p.1, part I).

The linkages between monitoring and evaluation were seen as close, as an important purpose of monitoring is to build up the complete history of a project, which is essential for evaluation, and generally, evaluation becomes the more difficult and expensive the less effective the monitoring function has been, it is stated. The evaluation is defined quite similarly as the IBRD-definition:

> "An evaluation is an examination, as systematic and objective as possible, of the design, implementation and results of an on-going or completed project or programme, with the aim of determining its efficiency, effectiveness, impact, sustainability and the relevance of its objectives." (p.1, part II).

However, whether it is symbolic or not, in June, 1988, the Project Guidelines were only on Evaluation, as guidelines on

project monitoring were 'under preparation' as stated in the preface (Danida Guidelines, 1988).

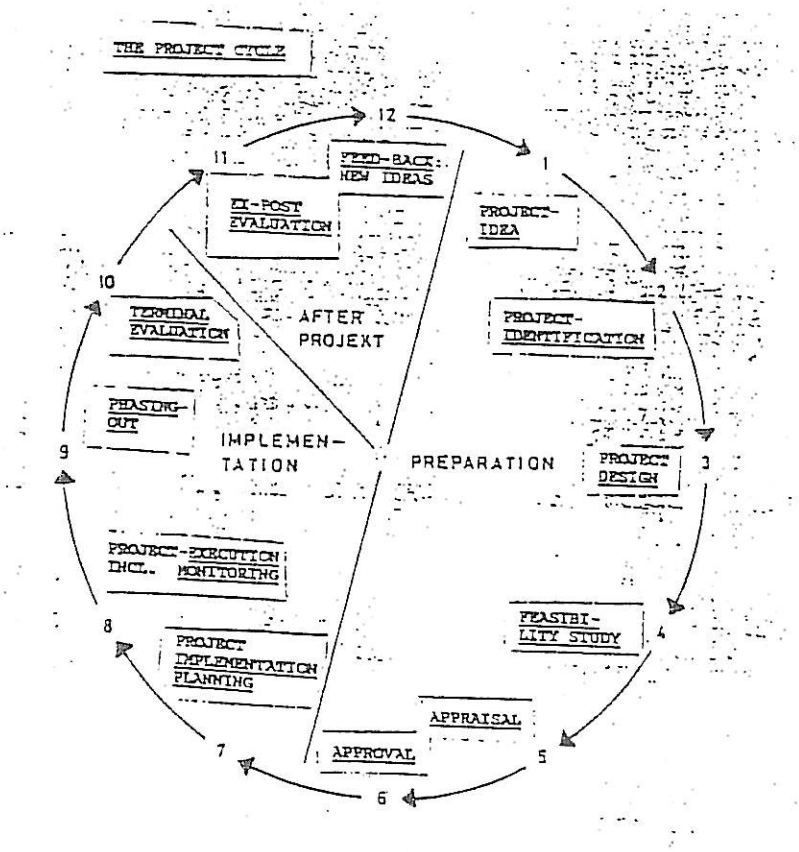
Though differences are obvious in the conceptual definitions, and practises vary, a broad consensus on monitoring as a function as a project management tool during the time of implementation of activities, and evaluation as a function of a broader assessment of the outcomes of activities, whether already during implementation or only after completion of the project, is clearly possible to identify. However, this traditional consensus is subject to questioning both theoretically as well as seen from the practical experiences. And in particular, during latest years, the policy or strategical consequences of this position are not tenable.

2. The Weaknesses of the Concepts.

The concepts of monitoring and evaluation face two major weaknesses. One is related to the linkages between the two functions, and the other is based on the general problems of social sciences of establishing a sufficently documented causal relationship between intervention and effects. In this section they will be elaborated shortly.

Both functions of monitoring and evaluation are parts of the concept of the 'project' and the 'project cycle', as probably generated and promoted by the IBRD 4), whereby the 'life' of a project is described as a cycle of preparation, implementation and adaptation afterwards. In this cycle, the monitoring has traditionally been limited to the task of assesing the progress of activities as a continuous process for the quite narrowly defined project management, and the evaluation as a one-time activity performed at different times of the cycle, e.g. after the normal baseline study as midterm-evaluation, terminal or ex-post evaluation. The cycle 5) might be conceived as shown in Figure 1 below:

FIGURE 1:

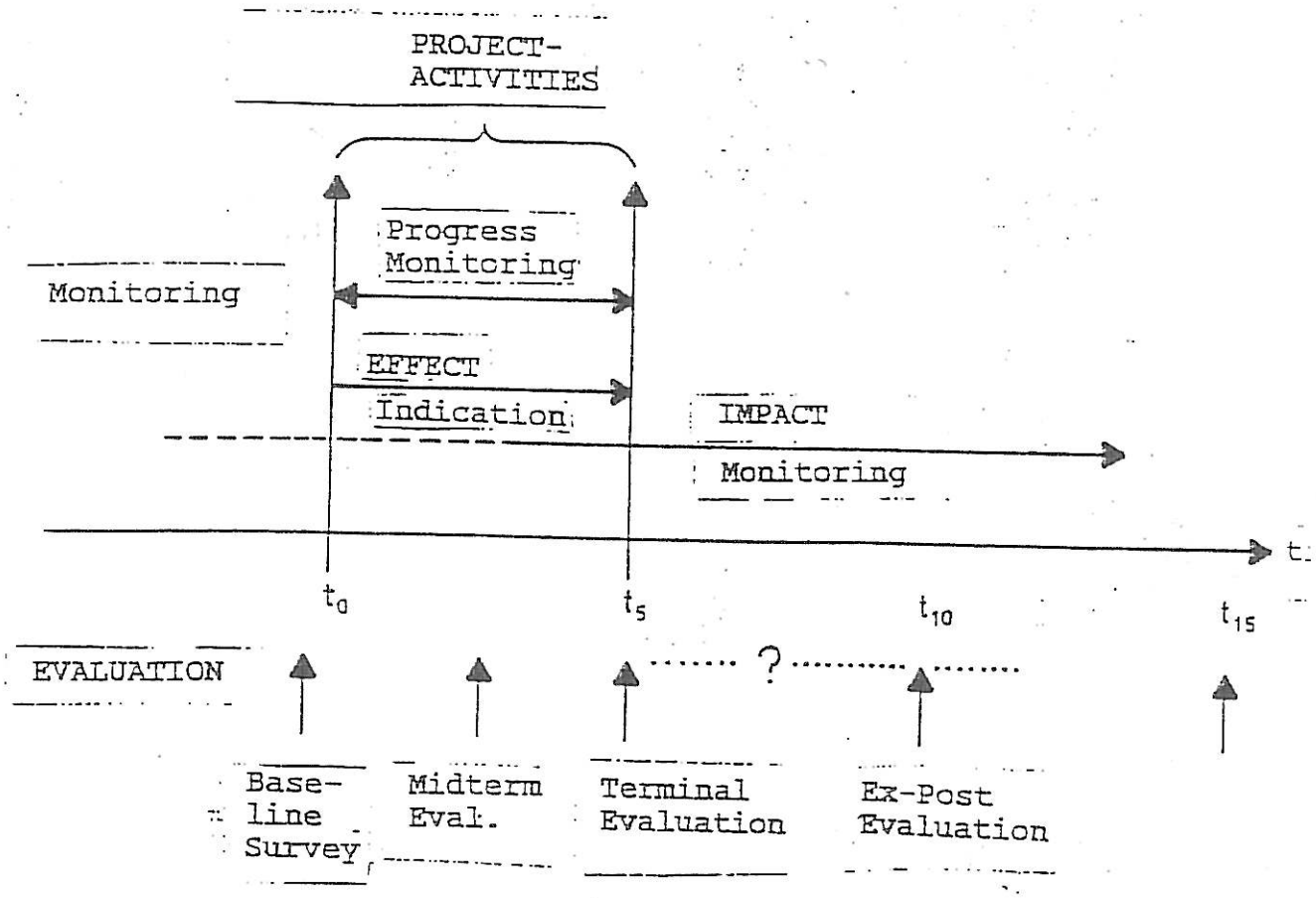


In the best cases, the linkages between the monitoring and the evaluations are supported by data supplied from the on-going project monitoring or diagnostic studies along the way. However, this is not sufficient in many cases, in particular in the projects of rural development, where the project lifetime has to be extend maybe over decades. While the objectives of the project are made more attainable by extending the project period, possibilities of implementing the data-collection for the evaluations are reduced, if you only rely on the isolated or unique studies: memories fail, records are not kept, and the chance of refinding the children from then, who are now grown-ups with their own families, is minimal. The uniqueness of such studies make them less useful, and what is happening in the gaps in-between is not even a qualified guess.

It has thus been increasingly felt, e.g. by the comprehensive studies on monitoring the local level development made by UNRISD (UNRISD, Geneva, 1978), by Peter Oakley (Oakley, 1988) and even by Casley and Kumar (though cautiously 6)), that the 'gap' of information between implementation of activities and

later evaluation, say, an ex-post evaluation 5-10 years later, needs to be bridged by a monitoring of the changes of the socio-economic living conditions as a longitudinal process, generating time series of data on different topics of key interest, which will describe the end-product, final test or pay-off of the development. Supplemented with reporting on significant local 'background', i.e. historical events related to the levels of the living, and with in-depth studies of the local social, economic and political structure and dynamics, it will make it more feasible to establish possible causal linkages between the development situation and the interventions. Such a more overlapping understanding of the functions of monitoring and evaluation might be illustrated as shown in Figure 2:

FIGURE 2:



The monitoring of development changes is thus not an evaluation in itself, but provides an improved platform, from which studies of impact can be elaborated, while already in the short-and intermediate time-horizon, it will deliver information on the trends of the socio-economic development to the mangement and authorities in a broader sense, as well as to the public in general. It then becomes a potential tool for development action.

The other weaknesses of the traditional conceptual position of evaluations relate to the difficulties of establishing causal relations between development interventions and possible outcomes. While the necessary conditions of having the activities to be studied happening before the ourtcomes are studied, and the activities to be followed by the outcomes, are feasible, though not allways simple 7), the sufficient condition of ruling out other possible causes of the outcomes than the activities in question is extremely difficult to establish. Further, to establish experimental conditions, e.g. by using control groups or villages, to analyse aoutcomes with and without the activities, is also very difficult in the context of a rural development project or an industrial urban project, in particular since the number of possible causes of impact is very long, and to isolate the variables from each other seems nearly impossible.

To undertake an evaluation in rigorous terms thus demands the measurement of change and the attribution of a part or whole of this change to the intervention of the project. The estimating of the change in itself might not be easy, since variations from year to year or area to area might occur. The establishment of a monitoring system (called 'impact monitoring' or 'change monitoring'), which does supply reliable time-series of data on the changes will thus par se be a useful step forward. Attribution of causality of change is even more difficult to achieve, and indeed, as emphasized by D. Casley and Denis A. Lury (Casley and Lury, 1987, p.212), in many cases the ambitions set for such evaluations are excessive. Ambitions for such achievement might be limited to

plausible inferences drawn from time series of monitored indicators such as adaption rates, general indicators of change in welfare level, e.g. nutritional status of children, housing conditions, etc. The monitoring system might then be supplemented by case studies of a few project participants studies and observation of the impact on a case-by-case basis. It may also be possible to utilize regular survey programmes carried out at the national level at least as a partial substitute for specially selected control groups.

How this 'change monitoring'-system might be organised at the local level is discussed in the next section. Suffice is to stress with the words of Robert Chambers (Chambers, 1985, p.403),

> "the question is whether there is a middle zone between quick and dirty and long and dirty, a zone of greater cost-effectiveness, which may be termed 'fairly quick and fairly clean'".

3. Problems of Monitoring and Evaluation of the Reality.

From the reality of monitoring a rather large and complex rural development project in Bangladesh, Noakhali Rural Development Project-II funded by DANIDA 8), and given the objective of collecting reliable data on the development of the living-conditions of the rural population, a number of difficulties emerge. Many of the problems do not tally with the traditional ways of doing socio-economic studies or the working pattern of research organisations, and accordingly are overlooked. A few, major ones 9), will be outlined as background for the village-level monitoring system, which has been established in the project-area from April, 1989.

When studying the rural areas as a totality, the tendency of most studies or the few on-going systems is to concentrate on small, accessable and assessable villages. Even though the individual villages differ in respect of size, age and agro-ecological conditions, the researchers are biased towards the handy reality, simply because sufficiently satisfactory lists of villages, registers of demarcations in physical or local

cultural terms, maps, etc. do not exist. Accordingly, while you may follow the rules of probability sampling closely in selecting the sample within the strata, you will probably not know, how the strata is related to the total universe, i.e. the project area 10).

A very important weakness of most studies or systems 11) is that they don't catch the dynamics of the population developmment. As often working with a fixed sample of the population, which is then followed by frequent visits or re-studies, it is possible to monitor the selected households within the fixed sample. But since most studies are depending on professional investigators or enumerators, for reasons of scarce ressources, the frequency of monitoring is no sufficient to catch vital events of births or deaths (in particular of newborn female babies, e.g.) or migrationary data. Some system of on-going observation of the total development of the village is needed to provide a more valid picture, especially in the Bangladeshi context and other areas, where estimates and forecasts are more frequent than reliable statistical data on the recent past.

In general, it has been seen, that the evaluation tends to become a unique event, a sort of 'snap-shot' exercise of the situation, as expressed by Peter Oakley (Oakley, 1988, p.7), which only with difficulties grasps events and phenomena taking place between e.g. a baseline survey and the evaluation study. This is reinforced by the tendency of extending the project lifetime maybe over decades, which might make the objectives of the project more attainable, but reduces the possibilities of implementing the data-collection, if you only rely on the isolated or unique studies.

Monitoring is often associated with collection of quantitative figures of mainly economical or physical nature. To understand the process of development, further emphasis has been put on social impact, and trials to follow the qualitative changes, e.g. in terms of poverty, access to ressources, both in material and abstract terms, gender aspects, sustainability,

participation, etc. How to do this in the practical monitoring and evaluation situation, we know very little about, but preliminary suggestions (e.g. Hussain Zillur Raman, Dhaka, 1989) indicate clearly, that without supplementing the evaluation or basing it on the on-going monitoring, the results are not satisfactory.

The tendency to extend the project lifetime up to 5-10 years, and even having several phases of the projects following each other, is generated by the growing understanding of the need for longterm interventions to alleviate the poverty situation, and the lack of progress sofar. This raises the question of how to monitor and evaluate the longterm development past the completion of the (original) project, if the system has been anchored to the project organisation, which probably will change its composition over time, and the same indicators and details of the on-going monitoring are to be maintained? The question is supported e.g. by the need for longterm series of data for the essential agricultural production to assess statistically the changes as significant 12).

Notes.

1. Examples of manuals are: FAO: Monitoring Systems for Agricultural and Rural Development Projects, E.Clayton and F.Pétry (eds.), FAO Economic and Social Development Paper No. 12, Rome, 1981; FAO: Guidelines for the Evaluation of Technical Cooperation Projects, Rome, 1984; and OECD: Methods and Procedures in Aid Evaluation, A Compendium of Donor Practise and Experience, Paris, 1986.

2. The Task Force was set up in 1976 by the Administrative Committee on Coordination (ACC), composed of all the heads of the UN agencies and organisations, chaired by the Secretary-General, to represent almost all the UN specialized agencies and organisations in agriculture and rural development. See: IFAD, Rome, 1985.

3. Dennis J.Casley is actually Chief of the Operations Monitoring Unit, Central Operations Dept., IBRD, but his clear distinction is not maintained by his Vice-Presidents.

4. As claimed by Baum and Tolbert, IBRD, 1985, p.6., the terms originate from the agreement of the Bretton Woods Conference in 1944.

5. For the sake of simplicity, the cycle is drawn as a circle. In reality, the cycle is an endless coil, where one project leads to another one.

6. The quote is from Casley and Kumar, 1987, p. 113.

7. Baseline surveys e.g. to establish the departure points are not that easy to implement, in particular before the project takes off!

8. Noakhali Integrated Rural Development Project (I) was started in 1977, but covered only 3 out of the 15 counties (upazilas) of the region, while its successor operated from 1985 in the whole area with 13 different components from agricultural extension, co-operative credit and institution-building to infrastrcuture, mass education and health. The author worked as Monitoring & Evaluation Adviser in the NRDP-II from 1986-89.

9. The identified problems are analysed in more details in Henrik Nielsen: Monitoring Rural Development in Bangladesh, Workingpaper submitted to Seminar on Monitoring of Development Projects: Issues and Prospects, held at University of Twente, the Netherlands, Sept., 7-8, 1989, Development Research Series No. 26, Aalborg University, 1989.

10. See also Casley and Kumar: The Collection, Analysis and Use of Monitoring and Evaluation Data, IBRD, Washington, 1988, p.80.

11. E.g. Hussain Zillur Rahman and Naila Kabeer: Monitoring Rural Poverty in Bangladesh, Bangladesh Institute of Development Studies, Dhaka, 1989, and the SIDA-funded Rural Employment Sector Programme (RESP): Impact Monitoring and Evaluation System (IMES), A Methodology Paper, Central Plannning and Monitoring Unit, Dhaka, 1988.

12. Casley and Kumar, 1987, p. 118-119, mention e.g. that 'cereal production trends over a ten-year period reveal an average coefficient of variation around the trend of about 15 percent', and 'that a high-quality series needs to be maintained annually over a period that is often larger than the life of the project'.

ANNEX B:

Monitoring: The Conceptual Debate

(from Henrik A. Nielsen: Study of the Monitoring of Development Assistance Projects, Phase 1, Department of Development and Planning, Aalborg University, February 1991)

1.2. Monitoring: the Conceptual Debate.

6. The conventional position of defining the concepts of monitoring and evaluation were consented by the United Nations ACC Task Force in 1984 by issueing the 'Guiding Principles for the Design and Use of Monitoring and Evaluation in Rural Development Projects and Programs', according to which the "monitoring is the continuous or periodic review and surveillance (overseeing) by management at every level of the hierachy of the implementation of an activity to ensure that input deliveries, work schedules, targeted outputs and other required actions are proceeding according to plan", and the "evaluation is a process for determining systematically and objectively the relevance, efficiency, effectiveness and impact of activities in the light of their objectives. It is an organizational process for improving activities still in progress and for aiding management in future planning, programming and decision-making." (FAO, 1984, p.13-14).

7. A similar position is taken by OECD's Development Assistance Committee's Expert Group on Aid Evaluation, though maybe not that rigidly. In the discussion on the sustainability in in development programmes it is e.g. stated, that "Since development projects are a dynamic development process, issues of sustainability requires attention through the life of the project. Some form of warning system of periodic analyses and reports is desirable to alert programme managers to factors affecting programme sustainability." (DAC, 1989, p.13).

8. However, to limit the monitoring activities to only being performed during the life of the project, and solely aiming at a narrow conceptualisation of the project management is increasingly being questioned. Reference is made to the paper by the Consultant to the EADI VIth General Conference in Oslo, June, 1990 (EADI, 1990). Two additional examples will suffice for this purpose, both related to essential long-term issues of impact.

9. Hans M.Gregersen and Allen L.Lundgren, University of Minnesota, has discussed how to link monitoring and assessment to sustainable development in connection with the Forestry for Sustainable Development Program (FFSD), and stress, that to gain the information needed to make informed choices, monitoring and assessment systems are needed to assess changes both in biophysical and in institutional variables associated with development. They add: "Most projects have impacts that go beyond their formal lives. Yet most monitoring and assessment activity ceases when the project terminates. If sustainability is of concern, continuity of positive project activities beyond the lives of projects must become an objective, and adjustments in the monitoring and assessment process need to be made accordingly." (FFSD, 1989, p.1 & 6).

10. Dr. Mary Tiffen, Overseas Development Institute (ODI) has prepared Guidelines for the Incorporation of Health Safeguards

into Irrigation Projects through Intersectoral Cooperation for a Joint WHO/FAO/UNEP Panel of Experts on Environmental Management for Vector Control (PEEM), and introduced a much expanded and updated view of the project cycle concept in which the project phase is 5-10 years followed by an operations phase (including maintenance and monitoring) of 20-50 years (see figure 3 below):

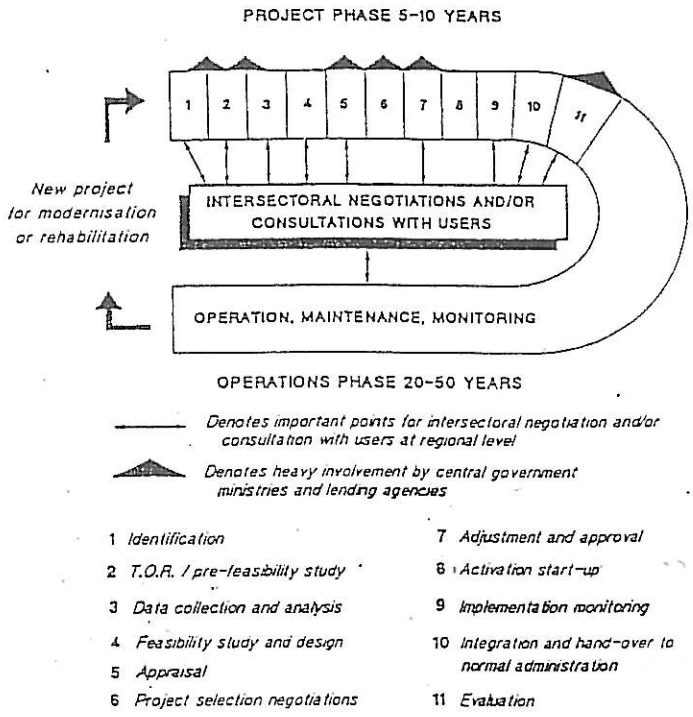


Figure 3. The expanded and updated view of the project cycle concept

She points out, that "it also important that the monitoring techniques and the information base built up during implementation are transferred from the project authority to the ministries or other organizations taking over part of the operation. These latter will need budgetary provisions or an income from fees which is sufficient to carry them out; methods should not be used during implementation which are financially impossible during operation." And "In the traditional project cycle, evaluation comes after implementation, and this may be a requirement of the lending agency...It would however, be a mistake to think that evaluation, which in a sense is a review of the previous monitoring arrangements, should cease at this point. Monitoring will also be required during the operational phase, and project authorities will continue to be able to make adjustments during this phase to management as well as disease control methods." (PEEM, 1989, p.33, 42-43).

11. The position of the larger donor agencies is also gradually being reconsidered. Dennis J.Casley, Chief of the Operations Monitoring Unit, Central Operations Dept., IBRD, states cautiously in the authoritative book 'Project Monitoring and Evaluation in Agriculture' that "A comprehensive impact evaluation should be an option used selectively in innovative projects or in those with identifiable and substantial risks. The evaluation staff of a project that requires such evaluation should start collecting data early - preferable at appraisal - and continue collecting them well past completion" (IBRD, 1987, p.113). While the USAID Evaluation News, July-August, 1990, reports a discussion on how to achieve sustainability: "Achieving this goal, however will necessarily require changing many A.I.D. business practices...the adoption of extended planning horizons with greater flexibility, better monitoring, and evaluation information systems that focus on management information needs and long-run impact.." (p.14).

12. To sum up: the definitions in force till now of monitoring and evaluation is being questioned affected by the long-term needs for information, in particular in relation to issues like sustainability, community involvement, etc. The procedures of the donor agencies will have to change accordingly.

13. The institutional framework of monitoring and evaluation is also under debate. Or, as it may be asked: for whom are the development activities being monitored? As recently expressed by the former Head of Evaluation, ODA, and ex-Chairman of the DAC Expert Group, Dr. Basil E.Cracknell: " Here is the Achilles Heel of most evaluation programmes..Most donor agencies, although they pay lip services to the need to work cooperatively with the recipient countries, in fact very seldom do so. Indeed they instinctively see evaluation as basically a defensive mechanism to assure their treasuries that aid funds are being spent well - they do not really see it primarily as a means of encouraging the recipients to carry out self-evaluation so that they can more effectively learn lessons for themselves." (Cracknell, 1990, p.9).

14. The issue is really how the monitoring systems introduced during the life of projects may be established and sustained after the completion of the project, so that the operations of the system and the information collected may benefit the purposes of the local governmental agencies, authorities and beneficiaries of the society in question. Rather than the systems presently being established by the different donor agencies, based upon purposes and principles aimed at the donor society, resulting in a whole range of options for the recipient authorities of planning, finance or line-ministries. The point of view of the donors will have to be turned 180 degrees around, if sustainability of the monitoring systems is to be safeguarded.

ANNEX C:

The Practices of Donors

(from Henrik A. Nielsen: Study of the Monitoring of Development Assistance Projects, Phase 1, Department of Development and Planning, Aalborg University, February 1991)

1.3. Practices of Other Donors.

26. The questions posed under this section are the following:
- How is the basic framework and set-up of a project described in the donor-agency? Is a fixed format (e.g. LFA) ,including indicators, objectives, means of verification, etc., mandatory?
- How is the ongoing monitoring of the project, its progress, effects and impact organised? Is programme follow-up institutionalized within the agency, i.e. at fixed intervals, is a data-bank of all projects with necessary information available, etc.?
- How is the monitoring system of the agency and the cooperation with the recipient countries institutionalized? For whom are the projects monitored?
- Are indicators of sustainability, participation or replicability studied by the agency?

27. The answers to the questions have been collected by visits to the ODA, SIDA and NORAD, while studies of available documents illustrate the practices of IBRD, EEC, USAID and UNDP, partly or fully. Clues of interesting practices of other donors, not studied in detail, are found, e.g. the participatory monitoring introduced in many IFAD-projects, the data-bank of GTZ, etc., and more in-depth investigation of these practices might be undertaken during the 2nd phase of the study.

28. The British Overseas Development Administration (ODA) introduced in principle the Logical Framework Approach for the preparation of projects and programmes in 1986, though with some adjustments renamed it the 'Project Framework'. It includes the basic matrix of levels of objectives, indicators of achievement, means of verification and important assumptions (ODA, 1986). Whether it is implemented totally in practice is not documented, but preparation of combining the previous Management Information System (giving mainly budgetary and accounts-information) with the Project Framework is ongoing. It is not the impression, that procedures of ongoing monitoring are applied, but a sequence of occasional reviews or evaluations is the usual pattern.

29. No details of the institutionalization of the monitoring of ODA is available. However, some lessons appear from the Synthesis Report, 1990, based upon analysis of 79 projects evaluated since 1980: "While ODA does not act as the main implementing agency in any project (this role normally falls to recipient country organisations), it is nevertheless responsible for facilitating, monitoring and supervising implementation" (ODA, 1990, p.2), sustaining the view-point, expressed in para 13 by its former Head of Evaluation.

30. Concerning indicators, it is noted in general from a number of projects, that it is important to consider what impact a project might have beyond that intended for it as expressed in project objectives. Further, that clear definition of objectives, careful appraisal and systematic monitoring serve to increase beneficial impact and target it more specifically on any key groups, which are intended to benefit, such as women and the poorest (p.3).

31. The issue of sustainability in particular was also looked into in the synthesis of completed evaluation. It is found, that institution building is part of the sustainability, and "therefore, be given careful attention at the design and appraisal stages, and progress against objectives carefully monitored to give the project the best possible chance of sustaining its benefits" (p.4). Unfortunately, it is not specified, when or how such monitoring shall be implemented.

32. The World Bank does not subscribe to the LFA, but adopts an approach which implicitly uses a similar system of indicators, clear description of objectives, etc., anyway. Dennis J.Casley thus gives a long list of indicators to measure beneficiary participation, though they are all quantitative (IBRD, 1987, p.144-45). The timing of monitoring and evaluation is being debated, as mentioned above, and by the means of a mandatory Project Completion Report for all projects, followed by an evaluation (named 'audit') of all projects as well, the information available to the staff of the Bank is substantial. Whether the experiences gained are available to the agencies of the recipient countries, is an open question.

33. The issue of sustainability was studied recently in the Evaluation Results for 1988-report, in particular stressing the need for developing institutional analysis, and confirming, that beneficiaries' participation in decisionmaking and in implementation increases the efficient use of human, institutional and cultural capital in certain projects, including area-based development projects, and is a major determinant of these projects' sustainability. In Annex 3 is appended an example of the framework for assessing the sustainability of two education projects (IBRD, 1990, p.33).

34. The United States Agency for International Development (AID) was the originator of the LFA, and since the early 70s it has been a key element in appraisal and planning. It is said to facilitate monitoring and evaluation, but years of efforts to define realistic, practicable and verifiable measures and indicators have not produced firm and easily transmittable guidelines. However, all LFA-matrixes are part of the computerized information system, enabling the desk officer or adviser to have immediate access to all the key facts of every project funded over the last 15 years. The trend of monitoring of the projects has moved away from extensive, conceptually complex and methodologically rigorous studies, not necessarily more accurate than simpler, more straightforward designs, involving local individuals in the collection and analysis of data, e.g. along the lines of Robert Chambers' approach to rapid rural appraisal (ODA, 1986, appendix 3).

35. Within the Directorate-General for Development of the EEC an interesting effort was introduced in December, 1988, to improve the ongoing monitoring of the development projects under the ACP-, STABEX-and Lomé-funding. On a semi-annual basis, all delegates, i.e. the EEC-missions, are to report in a prescribed format on the progress of ongoing programme/project implementation in the light of objectives, as well as on the future

viability/sustainability, including an analysis of the factors bearing on situation to be attained after project completion. The factors are similar to the ones described in the Sustainability-study by DAC. By this 'Early Warning System' (appended in Annex 2a) to the desk officer at EEC-headquarters, necessary actions should be taken timely. However, since the LFA was only introduced by circular of September, 14, 1990, the objectives, indicators, etc., had not until then been formulated in a systematic, and practical experiences might only be limited with the use of these 'traffic lights' (EEC, 1988, 1990). It is proposed, that documents of the Early Warning System concerning an ongoing project are collected from the field, e.g. the EEC Rangpur Regional Development Project.

36. Commissioned by the EEC's Evaluation Unit and Sectoral Policies Unit, Katja Schulz undertook a comparative survey of project preparation and evaluation criteria used by development cooperation agencies in 1989. Among the documents made available is the UNDP Policy and Procedures Manual, according to which the UNDP and the executing agency should continue to help the government ensure the effectiveness of a project even after the activities specified in the project document have been completed. A 'Resident Representatives Report' provides information on the basis of post-project monitoring, the format of which is appended in Annex 2b. The information available however does not tell how, when and who is implementing the 'post-project monitoring', or how development objectives, project results, etc. are to be measured (Schulz, 1990, p.159 & 167). It is proposed to look into specific examples of this reporting in the field.

37. The Head of the Evaluation Section of SIDA has informed, that the LFA is not applied by this agency, and that monitoring systems as such are only developed to a limited extent. This is explained by the role of SIDA as being only the contracting agency, tendering consultancies, agreeing with governmental institutions or local organisations, but not managing projects themselves. Similarly, project-staff or advisers are not employed by SIDA, but recruited by the employing ministry e.g., though some 'Coordinators' are employed for control purposes. Accordingly, monitoring reports are forwarded to the employer, e.g. the local ministry, who maybe will forward a copy to SIDA.

38. However, it is a special feature within SIDA-procedures, that the ongoing direct reviewing of projects locally is quite frequent and with fixed intervals. Each quarter of the year representatives from the development co-operation offices of the 17 selected recipient countries are reviewing the progress of the project together with representatives of the host ministry and the project staff. The minutes of the meeting are forwarded to the technical adviser in Stockholm, with a copy to the regional office. Each year a more comprehensive review will take place in the host ministry or at the development office, chaired by the technical advisers, and often with external consultants participating. Agreed Minutes will be produced of the meeting of the specific project. Finally, it should be noted, that a data-system was established by September, 1990, although it mainly relates to accounting and statistically purposes. The basis unit in the system is the individual intervention, i.e. contracts for

consultancies, etc. The present volume of the data-base, thus, is about 1.300 'interventions', though the ongoing number of SIDA-projects is about 200.

39. Concerning indicators, only production targets are specified in details, and objectives of social development or sectoral programmes are rarely contained. Standards for sustainability, participation or replicability are not formulated. The constraints of measuring accomplishment in relation to objectives was analysed in a recent report on the quality of decisionmaking processes and aid, caused by the introduction of a new budget procedure in the Swedish administration, emphasizing 'management by results' rather than 'management by objectives'. When comparing the areas of results (i.e. a) economic or financial return, b) observance of budgets, c) production of goods, d) implementation of activities, e) effects on target groups and f) the Swedish assistance objectives) with the possibilities of measuring accomplishment within the different sectors, it is obvious, that only a few of the dimensions of goal accomplishment are measurable with satisfactory precision, as seen i figure 6.5 below:

Figur 6.5 Möjlighet till redovisning av måluppfyllelse

Biståndstyp	Möjlighet att mäta		
	God	Möjlig	Svag
Industri	a	b, c, d, f	e
Jordbruk	(a)	b, c, d, e, f	
Infrastruktur	a	b, c, d, e, f	
Utbildning		b, c, d, e, f	a
Hälsa		b, c, d, e, f	e
Förvaltning		b, c, d, f	a, e
Miljö		b, c, d, f	a, e

40. At project-level, ambitions of monitoring progress and impact can be quite high. The SIDA Rural Employment Sector Programme (RESP) in Bangladesh (phase 1 1986-89), which was evaluated in 1989, has e.g. designed an impact monitoring system (to be implemented by its Central Planning and Monitoring Unit) consisting of a census survey of 7.000 households, an in-depth sample survey with some 900 socio-economic variables, and a smaller survey of a few hundred households to be repeated every quarter. As observed by the evaluation mission, the system created is complex as well as comprehensive. Whether in due time it will be able to deliver the needed results, is to be seen.

However, since it contains innovative features, it is proposed, that the status of the system is investigated in the field (SIDA, 1990, p.32).

41. The NORAD-position as regards monitoring is even more decentralised than in SIDA, according to a consultant, who has been commissioned to draft a handbook on project implementation, and the officer, who was secretary to the workinggroup, which last year formulated the new strategy for NORAD in the 90s. "NORAD is not supposed to monitor - the recipients are responsible", it is stated. The implication in relation to the LFA, which is systematically used by the agency, is that the usual coloumn 'means of verification' of the indicators is omitted from the matrix, since this is not needed from the point of view of NORAD! (NORAD, 1990). NORAD-funded advisers thus allways refer to their local ministry or institution, and copies of their reports would not usually be forwarded to the agency. In joint projects with more donors, some, e.g. Danida, is believing the problem is, that the local agencies do not have an adequate monitoring system, whereas NORAD points at the importance of the recipient having the responsibility. Conflicts may arise, since e.g. Danida wants an efficient management, while NORAD will leave the management to the recipient.

42. The reviewing of the NORAD-funded projects however is following a cycle, whereby the Annual Meeting of the technical advisers, the mission and the local government agency will approve the plan and budgets on a 3-yearly rolling basis, and in between the meetings, an Annual Review-report is made from the field to give input to the next Annual Meeting. The combined system of meeting and review is more flexible, because its working on a continuous basis and regularly. A data-based system keeps track of all projects with a summary (including objectives), an account plan, and all activities time- scheduled. An example is appended in Annex 1a.

43. However, the format and use of the system could be improved. The relationship between the data collected through the ongoing monitoring within the projects are not necessarily utilised within NORAD, and the Review is normally produced by the TAP, whereas e.g. UNDP stresses, that it shall be the normal project management, who drafts the report, to support the monitoring of the local institution. And it can be done. A good example from the project document of the Zambian Water Supply and Sanitation Programme, prepared by the Provinsial Water Engineer presented to and endorsed by the local authorities, and then forwarded to NORAD with request for support, including nicely LFA-matrixed objectives, etc., is shown in Annex 1b.

44. The data-based informationsystem might also be improved. The Canadian International Development Agency (CIDA) has developed a system, not only tallying closely on with the LFA analysis, but in addition containing background information, achieved results at the different levels and lessons learned. Annex 1c shows the content.

45. Sustainability has not been elaborated upon as a distinct issue. However, the termination of all NORAD-activities in Kenya

has caused a commisioning of the Chr.Michelsens Institute by NORAD to study the consequences of the termination, since this development offers an exceptional opportunity to look into the sustainability of the activities sofar assisted by the donor.

46. To sum up: Most donors are using a kind of Logical Framework Approach to systematically prepare and describe the project objectives and design. However, as often, the indicators are not described specifically enough, and rarely are the means of verification more than intentions or assumptions of availability of documentation. It is recommended, that special emphasis is placed on this issue in future Danida-planning, and that proposals for indication of development objectives are checked for the particularity of the project-area in question.

47. To sum up: The establishment and use of a computerized data-bank of all projects, containing vital information in a brief summary, is a useful tool for desk officers, technical advisers and project management in several agencies. The fixed scheduling of locally arranged review-meetings with inputs from the projects' monitoring is a flexible and sustaining support to the recipient authorities. It is recommended, that Danida considers such options of improving the overview of the ongoing project portfolio.

48. To sum up: The institutionalisation of the monitoring within the recipient countries is constrainted by the felt need of most donors to be responsible for supervision and management, whether explicitly stated or implicitly implemented. Support to post-project monitoring, and simple, cost-effective and local systems of ongoing monitoring is however being promoted by e.g. UNDP and NORAD. It is recommended, that Danida also supports such schemes, which in particularly would enhance the sustainability of the benefits produced.

49. To sum up: Indication of sustainability, participation or replicability is not a common feature among the donors. In any case, it is difficult to imagine general guiding indicators in this respect. Possibly sector-wise, or even project-wise formulation will be necessary. It is recommended, that examples of indicators within these issues are collected sector-wise from projects for training and inspiration purposes.

ANNEX D:

Danida Procedures for Monitoring

(from Henrik A. Nielsen: Study of the Monitoring of Development Assistance Projects, Phase 1, Department of Development and Planning, Aalborg University, February 1991)

1.4. Prevailing Danida Procedures for Monitoring.

50. This section will try to examine the prevailing distribution of the roles related to the monitoring of the Danida-funded bilateral development projects. Through briefly scrutinizing the guidelines and drafted procedures , a picture will be drawn at least of the formal situation, before the cases studied will be presented. The major questions asked are: - What is the present concept of monitoring within Danida? - Who is responsible for the ongoing monitoring of projects at the different stages of its life? - And what is the role of the specific positions in the organisation?

51. Like many other donor agencies, Danida is still in the process of defining the concept monitoring, and producing guidelines for its proper use. In November, 1987, Project Guidelines for Monitoring and Evaluation were drafted. Monitoring was defined according to the usual convention as "the continous gathering and analysis of information on actual inputs, activities and outputs, and their comparison with the project plans with regards to time, quality, quantity and costs", and it was seen as "an integral project activity and an essential part of good management" (Danida, 1987, p.1).

52. The focal point for the monitoring output is the Danida Mission/Copenhagen, though it "often is an exercise in collective problem solving" for the recipient country and Danida. But it is stressed, that Danida must be able to inform the Danida Board, the Parliament, the Government and the public of what is being accomplished with the development assistance funds. The tools of the monitoring are the quarterly progress reports to be produced either by a Chief Project Adviser/Project Coordinator, or the individual adviser, and to be used primarily by the operational staff at the Danida Missions, and in Copenhagen. The assessment of the local authorities in the recipient country, who might be 'other users', is rather sceptical, "they should be at least as well informed as Danida, and often the progress reports are the only reliable information they receive on project implementation". Anyway, the drafted guidelines on monitoring remained a draft, though the perception of level of information and roles might prevail.

53. According to the Organisation Manual, though not stated explicitly, the office of DS.3, the Evaluation Unit, is supposed to give overall guidance in relation to monitoring. Since the office "gives technical support to especially the regional divisions, in particular through preparation of guidelines for the overall project cyclus and crosscutting issues like institutional development, project planning and maintenance," it is assumedly also covering the monitoring. But it is in itself quite surprising, how scarcely the proper word 'monitoring' figures in this manual. (Danida, 1990a, p.19). (Consultant's underlining).

54. The Regional Divisions (DB.1, DB.2 and DB.3) are responsible for the overall project administration. There are implementing functions, participating, supervising and advising functions.

"Generally, the division has a supervising role, i.e. it is its right as well as its duty to interfere if it is deemed necessary. This applies i.a. to preparation of plan of operation, purchase of project equipment or financial monitoring of project and rendering of accounts." (p. 47). The focus is obviously on the expenditure-side, and not on effects or impact.

55. Within the Regional Division, the Head of Country Section is "in charge of the processing of project proposals, the current administrative preparation, planning and monitoring of projects, including the section's cooperation with the Danida MIssion's project administrator." (p.65). As will be seen, he/she is the only officer, who's 'monitoring', in somewhat contradiction to the matrix 6 on project implementation, where the major tools of the project reports are being prepared by the advisers, commented upon by the Danida Mission, and technically assessed by the Technical Advisory Division.

56. As stated, "once the assistance activities have been initiated, DB.4/5 (i.e. the Technical-Advisory Divisions) follow, to the extent necessary, the activities through project reports and review missions." (p.51). While the Danida Mission has as its most important tasks in connection with the implementation of aid projects "to be responsible for start-up and implementation of Danida aid projects. This includes supervision of individual projects by way of visits at regular intervals and continuous contacts with the authorities of the recipient country." The Mission is also to prepare status reports, though the purpose, frequency and for whom is not specified (p.73).

57. To sum up: Though many have the responsability to 'follow', 'to supervise' or even 'to monitor', the specification of the tasks are not quite unambiguous within the organization. And it is an important observation, that nobody apparently is designated to monitor projects in their operation and maintenance phase, not to speak of the post-intervention period, as it is the case of the UNDP Resident Representative.

58. The updated Guidelines on Evaluation, define indicators as "objective and specific measures of the results of the project. Indicators of output are usually simple (e.g. numbers of units produced, persons trained or vaccinations done). The application of indicators of the achievement of objectives, i.e. of developmental effects and impact .., however, may be highly complex and costly, if at all possible. In such cases qualitative and less objective assessments must be relied on." The implication being that output-indicators are quantitative, and effect/impact-indicators qualitative, is not sustained.

59. A very valuable support from the evaluation-teams is suggested in the guidelines to be recommendations from experience of lack of data at the time of evaluation on how the ongoing data collection might be improved in order to facilitate future evaluations. It underlines the close relationship between the monitoring and the evaluation, and in many projects the report of evaluation will become a platform on which the future operations and maintenance-arrangements will be built. (p.9)

60. The Logical Framework Approach is now also a prescribed tool for Danida. It will, of course, take some time before all ongoing projects have an elaborated matrix to be monitored and evaluated. But already during reviews, substantial efforts are being made to rectify or streamline elder project documents. Some confusion remains however with respect to the timing of the immediate objectives, the verification by indicators and the monitoring, as presented in the Handbook on LFA: If the immediate objective indicates what specific effect, the project will achieve within its lifetime (vol.I,p.7), and indicators (in general, as e.g. shown in the coloumn of the matrix) demonstrate results, independently of the timing, to serve as the basis for monitoring (p.10), then the issue of continued monitoring post-project versus leaving the effects unmonitored is raised. To omit the immediate objectives, and only focus on outputs and intermediate objectives might be a clearer definition. (Danida, 1989a).

61. Guidelines for Project Completion Reports (PCR) were issued in 1989 with a call for a gradual inception of 2-3 reports from each recipient country within the following halfyear. The initiated guidelines are a very good contribution to bridge the gaps in the present monitoring system, the implementation of which will undoubtedly be an improvement. First, it forces the offices to specify, whether activities should be regarded as completed or not. Secondly, it focuses on the conditions and needed support during the following operations and maintenance-phase, and it specifies, that the responsibility for any follow-up action rests with the Danida Mission.

62. A few qualifications might be added. The exeption of preparing a PCR in the case a subsequent phase of the same project is being planned involves a considerable element of risk, since it is exactly the quite normal fluid phase of possible extension, that the PCR might clarify. If this exception is maintained, many projects will not produce a PCR. Further, it is basically a wrong strategy to leave the preparation of the PCR to "the staff, who have been involved in the implementation of the project" (inclining the TA-staff or expatriate TAP even), while "the recipient country (implementing authorities) should be invited to comment on the PCR, as it may be of use in the continued implementation of the project and/or in replication of the project." (Danida, 1989b, p.4). It is also advised, that the PCRs are kept in the Documentation Centre also with cross-reference possibilities country-wise. Finally, the format should contain details not only on need for further analysis, as suggested, but on the possibilities for continued post-project monitoring, i.e. what type of information will be collected and analysed by which offices or people, and on the need for ongoing data-collection.

63. Guidelines for Project Preparation are under review, and a preliminary draft has been made. The step 10, monitoring, however, still contains the mixed attitude towards the double purpose of the monitoring function (donor or recipient?). It is stated, that it is the local project-implementing organization, who is responsible for the function, but the output (result) is yet the (inherited) Progress Report, produced according to the guidelines of 1986, i.e. by the Chief Project Adviser/the

advisers. It is suggested, that scheduled annual (semi-annual) meetings with the participation of the mission-representatives, the recipient country representatives and the project-staff, following the pattern of NORAD/SIDA, is included in the such guidelines. (Danida, 1990b, p. 38).

64. A report from a Workinggroup on the Allocation of Contracts for Project Implementation explains i.a. the need for monitoring, and stresses, "that the analysis of outputs and related indicators is of special importance, when it concerns a project to be contracted, since the outputs describe the results, the administrator of the project is going to be judged upon (Danida, 1990, p.7). It might be added, that it is not only the indicators of output, which are important, but also the indicators of effect and impact. The project administering company is to forward quarterly reports to Danida and the recipient country explaining how the project is progressing compared with the Plan of Operation. This report should be based upon an agreed monitoring system, and show the data collected on the indicators, including effects and impact. This, of course is of particulary importance in the cases, where the baseline surveys have not been made yet.

65. To sum up: Progressive steps towards improving the guidelines and procedures of the Danida monitoring have been taken recently. However, the guidelines for monitoring and manuals in general of Danida need to be updated and issued, keeping the aim in mind to support and sustain the efforts of the recipient local administrations themselves to monitor their own development projects. If such support succeeds, then the need for Danida as a donor agency to keep a reliable track of project implementation and post-project results will be reduced, and the information needed for the Danish constituency will be much easier available.

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ANNEX E:

The DANIPROJ DataBase

(from Henrik A. Nielsen: Databased Information on the Danida-Projects 1962-91. Overview and Analyses of the Contents of the DANIPROJ-database. Workingpaper No.29, Research-Series, Department of Development and Planning, Aalborg, June 1992)

1. Introduction.

1.1 Purpose of DANIPROJ.

The general purpose of the database is to provide a quick overview and basic information of all DANIDA-funded bilateral development projects incepted through the years 1962 (the establishment year of the development agency) until to-day. The background for this is, that such general overview is not easily available from the agency itself, in particular of the previously tied-aid funded activities, and of the completed projects. Add to this, that the personal (often excellent!) memory of the individual administrators with the growth of the agency portfolio in recent years no longer is sufficient as an institutional memory. The database is designed to cover a broad range of types of information, which may facilitate analysis of issues related to planning, management, monitoring and evaluation; analyses made by DANIDA itself, researchers, planners or other interested parties, who are in need to select and identify specific projects from different criterias, or who may wish to describe themes within the development assistance by using this possibility of computerized searches.

The database DANIPROJ has been developed as part of a researchproject, funded by the Danish Research Council for the Developing Countries, studying the monitoring theories, systems and practises of development agencies. The project was initiated at the Department of Development and Planning, Aalborg University, by the author in 1990, and the work has been undertaken[1] in co-operation with the Evaluation Unit of DANIDA, without which support the task would have been impossible. The database has already contributed with specific searches in a number of cases, e.g. the evaluation of sustainability of completed development projects, review of larger development projects (defined in terms of appropriated budgets larger than DKK 20 million), review of educational projects, etc.

As is the case of all databases, the value of DANIPROJ depends on it's accessability, maintenance and updating. The information contained in this workingpaper relates to the period since the inception of the DANIDA-activities up to May-June 1991. However, agreement has already been made with the Evaluation Unit to update it with data from the 1991-92 period, and hopefully it will be possible to keep it updated in the future. DANIPROJ is maintained at the Department of Development and Planning, to which requests for searches may be adressed[2], while a copy is available for the use of the DANIDA-staff at the Evaluation Unit.

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[1]. The dataprogramming has been greatly assisted by stud.scient.adm. Kurt Møller, while he and stud.oceon. Karl-Henrik Laursen also did the labourios work of data processing.

[2]. Department of Development and Planning, Fibigerstraede 2, 9220 Aalborg, Att. Senior Lecturer Henrik A. Nielsen or Secretary Ellen Nyrup Petersen, Tlph. +45 98 15 85 22, Fax +45 15 69 50.

1.2 Scope of DANIPROJ.

The database is designed to include all types of DANIDA-managed and -funded development projects, i.e. all bilateral projects. As will be seen, the distinction between bilateral and multilateral projects is not allways easy to keep. Funding is one distinction, and administration or management another one. It has been tried to exclude the multilateral projects from the database, but some might still have been included, e.g. if DANIDA is the major donor of a single project, and it is administered together with a multilateral agency (see. e.g. ref.no. 375 UNSO's tree-planting project in Ethiopia). On the other hand, all bilateral projects, apart from those being implemented in Denmark itself (e.g. Seed Patalogical Institute) are to be included.

The database also includes all projects, funded by different types of financial arrangements or agreements, whether by untied grants (gavebistands-projekter), tied grants (bunden gave-bistand) or loans (statslåns-projekter). However, while the background-data for most of the untied grants are available in the Annual Reports, and since 1984 in the Project Summaries of DANIDA ("Projektoversigter til Finansudvalget"), the only description of the purposes of all tied grants and loans are made in the original, individual Financial Agreements - and this is often incomplete. This material has been collected and studied, and together with data from the implementation (specific contracts of the suppliers, accounts and overviews from the relevant sections of the agency), has made it possible to include all activities financed by the tied assistance as well. Still, as will be discussed below, it has been necessary to a large extent to reconstruct the included "projects" of this type of funding.

Though the tied aid in principle since 1989 has been abolished, and no new activities are to be initiated from this source, a number of activities funded by tied grant or loan are continuing, expected to be completed within a few years; previously stated within 1991. As such, these on-going projects of the tied aid are to be found in DANIPROJ. Meanwhile, since projects of the untied aid increasingly are implemented or managed by private companies on a contractual basis, the contracted projects are also included, with specific labelling and information of such projects.

Some minor projects, e.g. with appropriations of less than DKK 100.000, might not have been included, since they are not mentioned in the sources, or because they have been approved directly by the DANIDA Missions/Embassies (as so-called "mini-projects" e.g.). A number of the non-governmental projects, implemented outside the DANIDA-system might also have been excluded from the sources utilised, though, it is underlined, this in itself should not disqualify from inclusion of DANIPROJ.

1.3 The Sources.

The content and the output of any database depends on the input and it's quality. The overall source for DANIPROJ is the Annual Reports of DANIDA, which generally contain details of

2. Overview of DANIPROJ.

A quick overview of the total and annual cumulative growth of the bilateral DANIDA-projects is not easily available from the Annual Reports and Project Summaries, published by the agency. From table 1 a summary of the number of projects included in the reports is presented, but it should be recalled, that the period covered by the specific Annual Report is not the same (shifting from three-year periods to one year reporting period, and following the changing of the financial year in 1977-78), and this period again does not tally with that of the Project Summary. Further, up to 1989, they only included the untied aid. However, they do give some tentative impression of the growth of the DANIDA-portfolio:

Table 1: No. of Projects included in Annual Reports/Summaries.

Year	Annual Report	Summary
1962-65	26	n.a.
1965-68	80	n.a.
1969	33	n.a.
1970	48	n.a.
1971-72	113	n.a.
1972-73	133	n.a.
1973-74	131	n.a.
1974-75	122	n.a.
1975-76	123	n.a.
1976-77	148	n.a.
1977-78*	186	n.a.
1979	190	n.a.
1980	200	n.a.
1981	204	n.a.
1982	229	n.a.
1983	243	n.a.
1984	255	173
1985	221	207
1986	234	202
1987	228	196
1988	316	229
1989	412	270
1990	472	354
1991	n.a.	457

* Note: 1977-78 included the financial year of 1977/78 and the transitional year from April, 1 to December, 31, 1978. The Annual Report covers (from 1979) the annual period: January, 1 to December, 31. The Summary covers the annual period: Maj, 1 to April, 31.

Table 1 contains each year the on-going projects as well as the projects completed in that year, but the number of completed projects is only occasionally specified in the reports. The first report of 1962-65 e.g. mentions, that during the three-year period 8 projects were "in full operation", i.e. running on their own, while the Project Summaries of 1987, 1988 and 1989 inform, that 20, 18 and 39 projects respectively were completed. No information on the number of completed projects of the years in-between is available. In table 2 below is shown the overall number of projects contained in DANIPROJ, as per January, 31, 1992, according to their status, year of inception and completion (if achieved), and specified on financial type

of aid. This presents a much more precise view of the actual development of the DANIDA-portfolio:

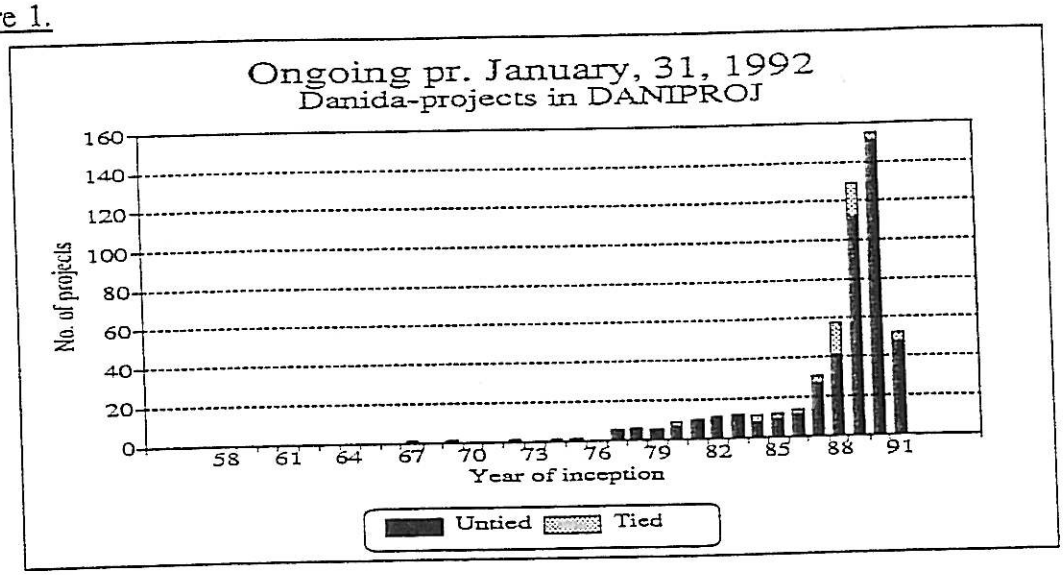
Table 2: No. of projects in DANIPROJ as per January. 31. 1992.

	No. incepted			No completed			No. ongoing as per 92.01.31		
Year	Tied	Untied	Total	Tied	Untied	Total	Tied	Untied	Total
1958	0	1	1	0	0	0	0	0	0
1959	0	0	0	0	0	0	0	0	0
1960	0	0	0	0	0	0	0	0	0
1961	0	0	0	0	0	0	0	0	0
1962	0	2	2	0	0	0	0	0	0
1963	0	3	3	0	0	0	0	0	0
1964	1	5	6	0	0	0	0	0	0
1965	7	10	17	1	0	1	0	0	0
1966	9	11	20	3	0	3	0	0	0
1967	8	11	19	2	2	4	0	1	1
1968	9	25	34	1	25	26	0	0	0
1969	35	21	56	15	13	28	0	1	1
1970	33	20	53	16	14	30	0	0	0
1971	17	19	36	14	5	19	0	0	0
1972	23	17	40	18	11	29	0	1	1
1973	18	29	47	11	22	33	0	0	0
1974	16	21	37	13	23	36	1	0	1
1975	15	19	34	15	19	34	0	1	1
1976	12	19	31	16	15	31	0	0	0
1977	16	29	45	14	19	33	0	5	5
1978	12	41	53	21	15	36	0	6	6
1979	17	23	40	17	18	35	0	5	5
1980	20	23	43	15	11	26	2	7	9
1981	13	27	40	9	18	27	1	9	10
1982	16	34	50	14	23	37	1	10	11
1983	13	36	49	15	19	34	2	10	12
1984	21	31	52	21	30	51	3	8	11
1985	25	22	47	19	30	49	3	9	12
1986	32	24	56	18	25	43	3	11	14
1987	26	57	83	25	13	38	4	27	31
1988	36	81	117	26	35	61	17	41	58
1989	39	142	181	36	40	76	17	112	129
1990	6	164	170	35	91	126	4	151	155
1991*	5	49	54	28	17	45	4	48	52
Total	500	1016	1516	438	553	991	62	463	525

* Note: 1991 only until June 1991.

Table 2 shows the initial growth in the portfolio up to 1969, and the quite stable situation since then with about 40-50 new projects annually. However, by 1986 a rapid growth of the untied aid-projects was initiated with nearly 170-180 new projects a year. Meanwhile, the completion of projects has corresponded reasonably well with the tune of inception, i.e. after a time-lag of 3-5 years, the number of completed projects tally with the number of incepted. The last coloumn of the table shows the present portfolio in 1992 distributed as per inception year. Far the largest majority of the projects, 64 %, have been incepted within the last 3 years, and only 8 % are more than 10 years old. This is also illustrated clearly in figure 1.

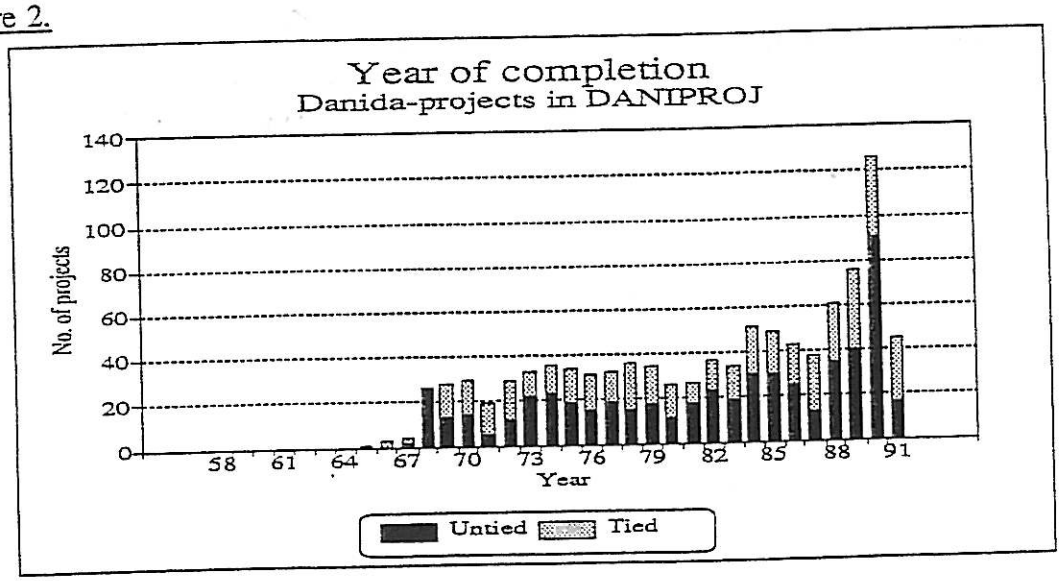
Figure 1.



* Note: 1991 only until June 1991.

Of the 991 completed projects, the major part has been completed in the late 80s. Half of them since 1984, and 25 % only within the last 3 years. Our knowledge of performance of development projects, including how to complete or phase-out the projects, is obviously a quite recent experience, if any. Figure 2 shows the completion of projects, distributed as per year of completion.

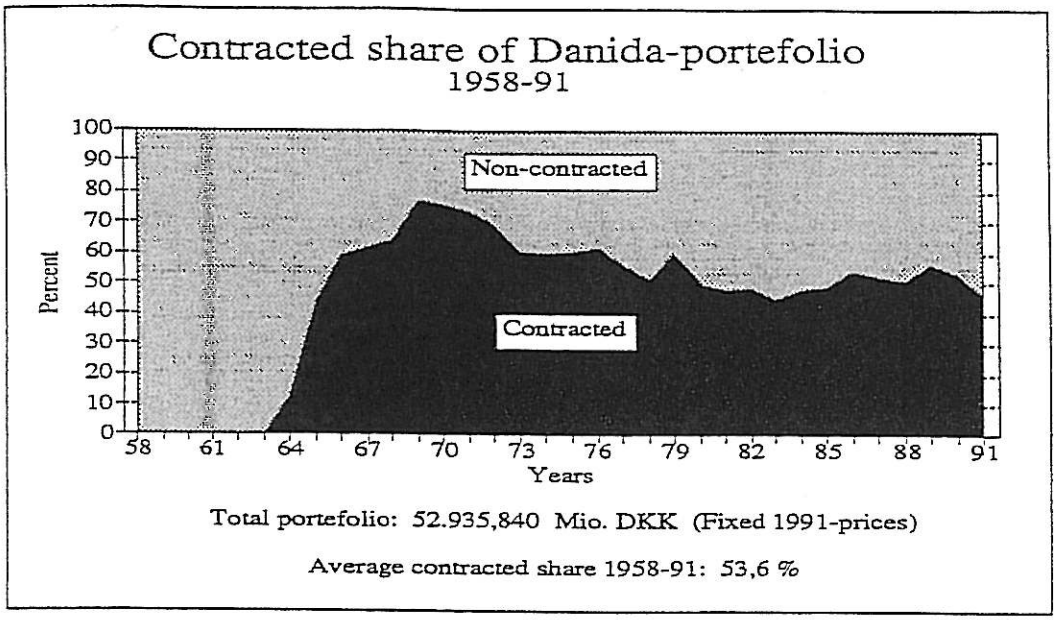
Figure 2.



* Note: 1991 only until June 1991

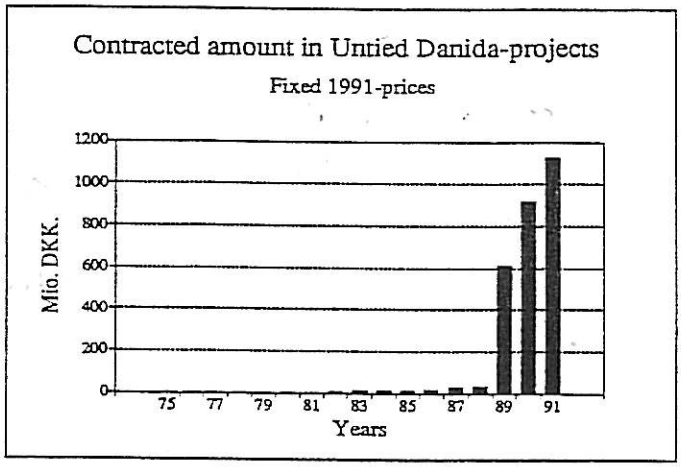
Table 2 also specifies between tied and untied aid-projects, but apart from the phasing out of the tied projects since 1989, and the corresponding higher rate of completion (88 %, i.e. 438 out of 500 tied projects, against 54 %, i.e. 553 out of 1016 untied projects), no major differences is seen.

Figure 9.



* Note: 1991 preliminary figures.

Figure 10.



10. Monitoring and Evaluation of Projects.

The monitoring of the projects is a less tangible and systematic process, as organised sofar in the agency. Accordingly, indications like e.g. Review Reports and Project Completion Reports are still to be registered, as mentioned in the introduction.

Meanwhile, evaluation of projects is a process, which have been on-going and prepared by the Evaluation Unit in a systematic way since the beginning of the 80s. Evaluations of individual projects, sector-wise evaluations and issue-or thematic evaluations are organised on a regular basis at different stages of the project cycle, i.e. as ante- (baseline survey), midterm-, final- (often called terminal-), and ex-post evaluation. The distinction between final- and ex-post

evaluation is for our purposes put at 3 years after the project completion, i.e. evaluations made more than 2 years after the year of completion are regarded as ex-post.

From the official list of evaluation reports, produced by the Evaluation Unit, all evaluation reports have been scrutinized, and the projects contained have been identified, with the exclusion of 3 types of evaluations: 1. evaluation of multilateral funded projects, 2. evaluation of activities or projects located in Denmark, and 3. global desk evaluations, made on the basis of other evaluation reports, i.e. without field-visits to the relevant projects[16]. The total list of included evaluations thus contains 164 evaluations (reports), drawing upon field-data from 218[17] different projects, which have been evaluated at 263 occasions (e.g. a project have been evaluated both at midterm and final stage). However, the timing of the evaluations are quite differently dispersed among the types of evaluations, as can be seen from table 21:

Table 21: No. of Evaluations (Reports) registered in DANIPROJ.

Type of Evaluation	No.	%
Single-evaluations	**155**	**100**
Ante	2	1,3
Midterm	107	69,0
Final	38	24,5
Ex-post	8	5,2
Sector-evaluations	**7**	**100**
Including the following project-evaluations (total 75):		
Ante	0	0
Midterm	22	29,3
Final	25	33,3
Ex-post	28	37,3
Thematic evaluations	**2**	**100**
Including the following project-evaluations (total 33):		
Ante	0	0
Midterm	19	57,6
Final	5	15,2
Ex-post	9	27,2
Total no. of Evaluations	**164**	**100**
Including the following project-evaluations (total 263):		
Ante	2	0,8
Midterm	148	56,2
Final	68	25,9
Ex-post	45	17,1

[16]. E.g. Evaluation No. 1987 E5: Cross-cutting Dimensions in DANIDA Evaluation Reports, Copenhagen, CDR, June, 1987.

[17]. The total number of evaluated projects, 218, does not tally with the sum of projects contained in the individual evaluations, the sector-evaluations and the issue-evaluations, i.e. 263, since a project may be part of several types of evaluations (ref.no. 115 e.g. is part of both thematic evaluations), or even be evaluated several times (ref.no. 35 e.g. has had two midterm-evaluations).

While most of the evaluations sofar have been evaluations of individual projects, i.e. 155 out of 164 or 95 %, they have mainly been of the midterm-type (69 %). Within the 7 sectoral evaluations, there has been a much stronger tendency to include final or ex-post type evaluations, respectively 33 % and 37 %. The 2 thematic-type evaluations mostly draws upon the midterm-stage of the projects included (57 %). In any case, it should be recalled, that the number of projects contributing to a single sector-or thematic-evaluation is quite large (e.g. 33 projects provided data for the 2 thematic evaluations), and consequently, the in-depth study of the individual project has to be limited.

Looking at the situation from the point of the universe of projects, the distribution of projects on types of evaluations, and compared with all the projects of the DANIDA-portfolio, table 22 presents some interesting information:

Table 22: No. of Evaluated Projects distributed as per Type of Evaluation.

Type of Evaluation	No. of evaluated projects	%	All projects	%
Single-evaluations	143	100	1516	9,4
Ante	2	1,4	1516	0,1
Midterm	94	65,7	1516	6,2
Final	39	27,3	991	3,9
Ex-post	8	5,6	991	0,8
Sector-evaluations	83	100	1516	5,5
Ante	0	0	1516	0
Midterm	27	32,5	1516	1,8
Final	29	34,9	991	2,9
Ex-post	37	32,5	991	2,7
Thematic evaluations	10	100	1516	0,7
Ante	0	0	1516	0
Midterm	10	100	1516	0,6
Final	0	0	991	0
Ex-post	0	0	991	0
Total	218	100	1516	14,4

* Note: The sum of Single-, Sector- and Thematic-evaluations is not equal to the Total number of evaluated projects, due to the fact, that some projects have been evaluated more than once.

The 143 projects, evaluated individually, represent 9.4 % of all the completed and on-going projects. However, of these projects, only 8 or 0.8 % of the 991 completed projects have been evaluated ex-post, and 39 or 3.9 % have been part of a final evaluation. This should be considered unsatisfactory, as a very limited basis to gain experiences from. Again, more projects have supplied data at an ex-post stage for a sectoral evaluation (2.7 % of the completed ones), but the overall number of projects included also in this type of evaluation is very small, in total 83 projects, i.e. 5.5 % of all projects. In total, it is only 218 projects out of the 1516 (14.4 %), which have been evaluated in one way or the other.

The evaluated projects may have been selected according to several criterias. We have tried to compare the selected projects with the distribution as per type of funding, sector, size of appropriation and countries. First, table 23 shows distribution according to type of funding:

Table 23: Evaluated Projects distributed as per Type of Funding.

Table-guide:
Column *1*: No. of Evaluated Projects.
Column 2: Column *1* in relation to Total no. of Evaluated Projects (218). Percent.
Column *3*: No. of Projects.
Column *4*: Column *3* in relation to Total no. of projects (1516). Percent.
Column *5*: Column *1* in relation to Column *3*. Percent

Type of Funding	*1*	2	*3*	*4*	*5*
Untied grant	127	58,3	920	60,7	13,8
Tied grant	22	10,1	101	6,7	21,8
Tied loan	53	24,3	399	26,3	13,3
Commodity grant	16	7,3	96	6,3	16,7
Total	218	100	1516	100	14,4

Overall, about 14 % of all funding types have been evaluated, but the number of tied grant funded projects seem to be above avarage, i.e. 22 %, while the untied grant- and loan-funded projects are below average. The sectoral distribution, shown in table 24, clearly reflects the sectoral evaluations of water and sanitation (code 1.3) with 21 % of the relevant projects evaluated, and of energy, i.e. electricity, (code 2.4) with 26 % of projects evaluated. But also the agriculture, forestry and fishery projects (code 3.1) have been more evaluated than average. However, seen in the light of number of projects and the size of appropriations, the sectors of transport (code 2.1) with 12 %, and of industry, crafts and technique (code 3.2) with only 9 % of the projects evaluated, should be of first interest in the future evaluation programme.

Table 24: Evaluated Projects distributed as per Sector.

Table-guide:
Column *1*: No. of Evaluated Projects.
Column *2*: Column *1* in relation to Total no. of Evaluated Projects (218). Percent.
Column *3*: No. of Projects.
Column *4*: Column *3* in relation to Total no. of projects (1516). Percent.
Column *5*: Column *1* in relation to Column *3*. Percent

Sector	1	2	3	4	5
1,1	32	14,7	217	14,3	14,7
1,2	22	10,1	156	10,3	14,1
1,3	27	12,4	127	8,4	21,3
1,4	0	0	7	0,5	0
1,5	1	0,5	19	1,3	5,3
1,6	2	0,9	38	2,5	5,3
1,7	4	1,8	45	3	8,9
2,1	15	6,9	126	8,3	11,9
2,2	1	0,5	30	2	3,3
2,3	1	0,5	11	0,7	9,1
2,4	16	7,3	61	4	26,2
2,5	3	1,4	25	1,6	12
3,1	64	29,4	324	21,4	19,8
3,2	22	10,1	257	17	8,6
3,3	4	1,8	28	1,8	14,3
4,0	3	1,4	32	2,1	9,4
5,0	0	0	5	0,3	0
6,0	0	0	1	0,1	0
9,0	0	0	0	0	0
9,5	0	0	1	0,1	0
9,7	0	0	2	0,1	0
9,9	0	0	3	0,2	33,3
Total	218	100	1516	100	14,4

Appendix 6 presents the distribution as per size of the appropriation (in current prices), and it is obvious, that the efforts have been concentrated on the major projects, measured in terms of appropriation. The distribution of evaluated projects among the receiving countries is finally shown in table 25, listing the countries in order of number of evaluations, and with information on the number of projects within the country:

ANNEX F:

An Alternative Approach

(from Henrik A. Nielsen: Monitoring the Development Intervention. An Alternative Approach to Impact Evaluation. Paper presented to the Vith General Conference of the European Association of Development Research and Training Institutes (EADI), Oslo, June 1990)

4. An Alternative Approach: Village-level Monitoring System.

In other words, the definition of the functions of monitoring and evaluation, and their practical organisation has as a consequence only a limited achievement of goal. In the NRDP-II, an alternative approach has been launched, not to replace to existing system of progress monitoring (whereby the inputs and the outputs of the project acitivities are followed and reported, as far as possible both qualitatively and quantitatively), or the monitoring of effects (whereby indicators of the direct results of the activities, and for the project beneficiaries, are estimated), but to try to monitor the impacts or the changes of the development process. The impacts are thus defined as the indirect or wider results of the project activities, for the general population, not directly benefitted by the project activities.

The Village-wise Monitoring System (VIMS) 13) is based upon a

number of objectives:

- to monitor the major socio-economic topics related to the development and changes in the living conditions of the rural population of the project area, including the women,
- to provide simple, but reliable data on the wider and more indirect results of the projectactivities,
- to supply on-going information in a rapid form at relatively modest costs,
- to rely on local knowledge and reporters, who are permanently present at the village-level, combined with supervision by the local, professional monitoring and evaluation organisation,
- to report at regular, scheduled periods, which will make determination of possible, causal relationships feasible, and
- to establish a monitoring system, which will cover the whole project area, and which will reflect changes in a dynamic way.

The selection of the areas (villages), the selection of the village reporters, the selection of the topics or fields of study to be included in the system, and the set-up of the organisation responsible for supervision, processing and analysis of the data as well as for the reporting, will not be discussed here 14). The efforts involved were substantial, but rather cost-effective, since it was implemented by the normal Monitoring & Evaluation Unit of NRDP-II and its local staff-members without supplementary funding. Since the fielding of the system in April, 1989, monthly reports have been produced regularly by the 4-member team (two male and two female) and the co-ordinator, who collect the data from the 20 village reporters (10 male and 10 female) of the 10 selected villages of the project area. The reports sofar have covered the following topics 15):

- basic census of all households and individuals of the villages, in total 11.198 persons of 1.791 households,
- agricultural production of the three annual crops, market and retailprices of agricultural inputs and outputs, etc.,
- employment opportunities, on-and off farm,

- health and nutrition with emphasis on children,
- institutions and infrastructure og the villages,
- housing and cooking,
- social network and security, in particular of women,
- transport and communication,
- credit, and
- education.

In addition, during each of the months, the female village reporters have up-dated information on births and deaths occuring in the villages, while the male reporters have kept track of migration and immigration.

It is found from the implementation of the system, that it is feasible to run a system of monitoring changes of development, based upon local village reporters, supervised by a local, professional staff, delivering simple, but reliable data on a continuous basis. It has also been seen that the processing has improved (using a Dbase4-programme on 2 IBM-compatible clone microcomputers, operated by the field-team itself), that the capacity of the supervising team and the village reporters has incerased, and that the planned topic-wise reports have been implemented according to schedule.

The outcomes of this system sofar are promising. With little efforts, relatively compared with much more comprehensive and costly baseline studies and evaluations e.g., it is now feasible to follow trends of production, living-conditions, population development, poverty alleviation, etc., over the coming years. A number of specific improvements can be made, of course, and the system has been suggested to be consolidated in particular to relation to the coverage of the agro-ecological zoning of the project area 16). Apart from these more technical adjustments, two basic considerations are important: what will be the future institutional anchorage of such a monitoring system? and who will be the true clients of the system in the future?

5. Another Institutional Framework.

A major aspect of donor assistance within the fields of monitoring and evaluation seems to have been neglected. As recently expressed by Basil E Cracknell (former head of evaluation of ODA, ex-Chairman of the DAC Expert Group on Aid Evaluation):

> "Here is the Achilles Heel of most evaluation programmes, and the EEC's is almost the only one which would qualify for a 'star' under this head, (..). Most donor agencies, although they pay lip service to the need to work co-operatively with the recipient countries, in fact very seldom do so. Indeed they instinctively see evaluation as basically a defensive mechamism to assure their treasuries that aid funds are being spent well - they do not really see it primarily as a means of encouraging the recipients to carry out self-evaluation so that they can more effectively learn the lessons for themselves." (Cracknell, 1990, p.9).

The point of view might be supported by the present stage of monitoring of the DANIDA. In the 1982-Report of the Government Committee on the Principles of the Danish Assistance to Developing Countries (DANIDA, 1982, p.352), it is stated,

"strenghtening of the capacity of the monitoring and evaluation of the recipient countries",

is part of the means to achieve a higher effienciency in using the ressources based upon the objectives of the Danish assistance co-operation. However, as described above, the development of the monitoring guidelines, etc., does not obviously tally with this statement.

The real problem might also be more complex. The donor agencies are mainly interested in a qualitatively and quantitatively reasonably smooth disbursement of funds, according to the objectives set for the assistance. For this purpose, the monitoring and evaluation functions are established, based upon the principles of the different organisations in the donor countries. These principles vary from organisation to organisation, so the recipient countries and their authorities of planning, financing or line-ministries have a whole range of options, also within this field. This might be further combined with a sceptical bias of the donors towards the

reliability of the monitoring and evaluation offices of the recipient countries.

When trying to support the institutionalization or the development of the monitoring and evaluation functions in the administrative machinery of the recipient countries, the best possible level of intervention is discussed. Should it be the central authorities like the ministries of planning, finance and local government? or the line-ministries within e.g. agriculture, education, health, etc.? or mayby the district- or regional authorities, which are much closer to the reality? In any case, the point of view of the donors will have to be turned 180 degrees around, so they will have to adjust their systems of monitoring and evaluation to the needs of the recipient countries.

Harry Blair (Blair,Dhaka, 1987, p.11) has emphasized, that it is rather the accountability of the upazila parishads (councils) to the population they represent, which is the hinge on which the whole decentralisation process of Bangladesh is turning. And thus the possibilities of the local population to 'monitor' the actions of the local authorities are focused upon, and not only the possibilities of the local authorities to follow the development of their area. This approach places the question of how to improve the evaluation through redefining the role of the monitoring from only being a narrow project management tool to a tool of development action for the target population right in the crossroad, where the debate has placed the concepts of sustainability and participation as the central themes of the development process. Peter Oakley emphasizes the needs for changing the traditional concepts:

> "Clearly it is difficult to fully understand the concept of 'participation' in, and as a result of, a rural development project with conventional M & E techniques. In dealing with participation we are not only concerned with results which are quantitative, but more importantly, we need to understand processess which are qualitative. (..) Participation is a process which unfolds throughout the life of a rural development project (and continues when the project formally ceases).." (Oakley, 1988, p.5)..

But the policy or strategical consequences should go beyond readjusting the tools of the management (broadly conceived as including both the donor and recipient governmental authorities) to have a more historically view of the development of project activities. The basic question of the institutional anchorage of the implementing monitoring and evaluation organisation, and who are the clients and end-users of the information generated by the information systems, needs to be raised. In the longterm perspective, the local-level authorities, and in particular the public in general at the loval level, and their representatives, organisations, etc., are envisaged to be the most important receivers and users of this type of information, generated e.g. by a village-level monitoring system such as VIMS of NRDP-II, in the process of promoting participation and democratization. The system should supply reliable data on the actual progress of development, of the situation of the living conditions within the local area, and thus provide a tool for the democratic debate at the local level.

To have this role and ensure the sustained credibility, it is essential to safeguard the reliability, independence and on-going activity of the system. On the other hand, it is necessary to secure its institutional sustainability, i.e. anchor it somehow outside a project context, and to develop well-functioning delivery-points of the information generated to the public in general at the local level, e.g. the local councils (in Bangladesh the Union Parishads), representatives of NGO's, local leaders, school committees, etc. It is obvious, that to create such delivery-points and linkages is both a sensitive and difficult process of specific and individual identification, but this does not make it less important or necessary for the process of development. Some practical suggestions on how to come about the 'participatory monitoring and evaluation' has already been shown by Marie-Therese Feuerstein (Feuerstein, London, 1986) and Alexandra Stephens (Stephens, Bangkok, 1988).

The further development of the village-level monitoring system

of NRDP-II beyond the present phase of the project-activities will hopefully give additional evidence and clues to how this alternative approach may be developed.

Aalborg, March, 1990.

11. E.g. Hussain Zillur Rahman and Naila Kabeer: Monitoring Rural Poverty in Bangladesh, Bangladesh Institute of Development Studies, Dhaka, 1989, and the SIDA-funded Rural Employment Sector Programme (RESP): Impact Monitoring and Evaluation System (IMES), A Methodology Paper, Central Plannning and Monitoring Unit, Dhaka, 1988.

12. Casley and Kumar, 1987, p. 118-119, mention e.g. that 'cereal production trends over a ten-year period reveal an average coefficient of variation around the trend of about 15 percent', and 'that a high-quality series needs to be maintained annually over a period that is often larger than the life of the project'.

13. Originally baptized 'Village-Wise Impact Monitoring System', but in light of the more modest level of ambitions, adopted at the national review workshop in January, 1990, the system is now named 'Village-level Monitoring System. See: Henrik Nielsen/Monitoring & Evaluation Unit: Village-Wise Impact Monitoring System (VIMS), Study No. 132, M & E Unit, The Design of the System, Maijdee, 1989.

14. See: Henrik Nielsen: Monitoring Rural Development in Bangladesh, Aalborg, 1989, and Bimal Chakraborty: VIMS, The Experiences of the M & E Unit, Paper presented at the Workshop on VIMS, Maijdee Court, January, 20-21, 1990.

15. See: Monitoring & Evaluation Unit, NRDP-II, Studies No. 148, 150, 157, 164, 165, 166, 169, and drafts in process.

16. See: Henrik Nielsen: (Draft) Report on Mission to Advise on the Continuation of the Village-Wise Impact Monitoring System, University of Aalborg/Danida, 1990.

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ANNEX G:

Monitoring and Evaluation of RDDP – A Model

(from Henrik A. Nielsen: Monitoring and Evaluation of Rakai District Development Programme, Rakai District Administration, Rakai, October 1993)

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October, 29, 1993.

2nd Draft

Monitoring and Evaluation of RDDP

1. Basic Concepts of Monitoring and Evaluation.

The monitoring and evaluation system, suggested in the following for Rakai District Development Programme, is based upon the concept of monitoring as being the on-going surveillance of the development process in view to get information of it's course and progress. The monitoring may cause interventions in the process, or extended collection of information for further study of the situation. Crucial is, that the monitoring should be regarded as a positive support to the progression of the developmental process by creating transparency and information for as many as possible in an open atmosphere, rather than a control or supervisory function, where the knowledge is reserved for a few ones.

While the monitoring mainly emphasizes the continuous assessment of the functioning of programme activities and of the use of the inputs and outputs by the target population, often termed the effects, seen in the context of implementation schedules and design expectations, the evaluation is a periodic, i.e. occasional, assessment, which aims at examining the relevance, performance, efficiency and impact of the programme, seen in the context of it's objectives. However, it is clear, that the concepts of monitoring and evaluation are overlapping, and that the information collected through the on-going monitoring will be a neccessary input for a later evaluation of the programme. Furthermore, the monitoring should not be limited to the actual programme period, but be institutionalised and extended beyond e.g. the period of donorfunded inputs. Only then will it be possible to document the results of the activities. And, finally, to make the disbursement of funds and the outcome of the activities transparent, everybody should have access to the information produced by the monitoring and evaluation systems. It should not be restricted to the management only, but be a tool for the constituents and the taxpayers, both in Rakai district, and in the donor country.

In the following, the emphasis is put upon the development of an appropriate, low-cost, reliable and comunity-based monitoring system, which will serve both the goals of the Rakai district and Danida. When a satisfactory monitoring system is established and implemented, it will be a relatively simple task to initiate and undertake special studies, ex-post assessments or other types of evaluations.

2. Approach and Responsability.

Approaches to the monitoring and evaluation of development programmes differ as regards the basic perspectives and angles. The donor will look upon the activities as a project or programme, which is to be undertaken within a fixed schedule and funded by financial means, appropriated for this specific purpose. The donor's monitoring thus is focused upon the project phase, it's establishment and implementation, while the further functions are less considered. The recipient, on the contrary, will regard the activities as an extension or improvement of something, which already existed, and which has to be maintained as an ordinary activity in principle indefinitely. After the project phase, this has to be done with reduced, local funds, which have many other alternative applications.The recipients's monitoring accordingly thus has to be submitted to all the permanent procedures, and not only those activities supported by the donor, and taking the limited means into account. For both parties, it is often the case, that their time perspective generally is short, i.e. the established systems rarely are able to generate documentation of effects or longterm results (impacts).

At the same time, there is a certain coincidence in the perspective of those, who basically fund the Danida-support, i.e. the Danish public or constituencies, and those, who should be benefitted by the development activities, i.e. the target group, the population of Rakai district. Both parties are interested in information, which will show if the assistance does in fact reach the villagers, and to what extent, it leads to longterm improvement of the living conditions for them. Seen from this point, the monitoring effort must be able to show the results both in the shortterm and the longterm perspectives, but with the emphasis put on the longterm results.

The proposed systems aim at balancing the different approaches by clearly placing the main responsability for the monitoring at the reciver as regards implementation, on-going data collection, scheduled and regular reporting and the sustaining of the monitoring, while the role of the donor is advisory, supply of resources during establishment, maybe support to the maintenance, and at the same time utilising the produced reports and results of the monitoring for his own purposes.

3. The Levels of the Monitoring.

There is a number of levels of the monitoring, based upon the different needs for information as regards timing and details. The levels could be:

* central decisionmakers:
  Ministry of Local Government/Decentralisation Secretariat/
  Ministry of Planning and Economic Development
  Danida (Board/Country Section/Technical Office)

* decentral decisionmakers:
  Rakai District (RCV Council/D.E.S)
  Danish Embassy, Kampala

* local responsables:
  Departmental Heads of Rakai District
  Resistance Councils (RCIII/RCII/RCI Chairmen)

* taxpayers/constitutents:
  RCI-members
  local staffmembers

The public in general, in particular in Denmark, will also be utilising the results of the monitoring.

The monitoring system is to supply the individual levels with relevant knowledge,i.e. it has to be targetted in scope, content, mode and language to suit the specific receiveres.

4. The Outputs of the Monitoring.

The system has to deliver different types of information according to it's contents. Qualitative as well as quantitative information, including indicators, has to be provided on the following issues:

* physical implementation of the activities, i.e. whether the intended material and immaterial inputs are actually produced or supplied, compared with the relevant plan of operations, the intended targetgroup, and the spatial (geographical) distribution;

* financial management of the activities, i.e. whether the accounts are in accordance with the budgets, the prerequisites for the budgets, and the physical implementation of the activities;

* actual utilisation of the produced and improved conditions, i.e. whether the targets (outputs and effects) of the development actvities are achieved;

* problems faced during implementation or the operational phase have to be intercepted, e.g. related to environmental effects and unforeseen consequences;

* longterm impacts of the implemented activities, i.e. whether the development objectives have been achieved.

5. How Is the Information Procured?

Monitoring of the physical progress of the activities should as far as possible be designed as a routine part of the ordinary district administration, the non-governmental organisation or the private contractor supplying services. All activities, whether on-going or once-for-all, should in principle be reported on a monthly basis by their implementors, e.g. the local contractors and the foreign consultants, the headmasters of the primary schools, the Community Development Workers, or the Frontline Extension Worker, to the relevant sectoral/departmental Head, e.g. the District Educational Officer, or the Supervisor Works Department, who is to aggregrate the supplied data, and communicate them to the District Planning Unit, which is to make a quarterly monitoring report of the activities within Rakai district.

Simple formats for such on-going reporting are to be developed and distributed to the implementors. The design is to be tailormade to the activity in hand, but the information should be indicated both quantitatively as well as qualitatively, including comments on e.g. reasons for delays or constraints, and suggestions for improval. It is essential, that the information is coded and includes names of the relevant groups, village, parish, subcounty, and participants in the case of e.g. training activities. Each report should be limited to a one-page format with possibilities of further annexes, if needed. Design of the reporting format will be a joint effort between the implementors and the DPU, assisted by the Adviser.

Monitoring of the financial management is done on the basis of reports from the accounting sections of the district, the donor, the involved non-governmental organisations and the contractors or consultants employed. It's a major principle, that the information on the physical and the financial activities is compatible, thus making the base (the budget lines) of the accounts reporting identical as far as possible with the description of the physical activities, the geographical deliminations, periods of timing, etc. Monthly accounts reports should be made by the different accounts sections, and aggregated by the Accounts Section of Rakai district. Together with the District Planning Unit, they will produce the amalgated quarterly monitoring report, encompassing all activities of the district.

Since the compatibility and the utility of the information depends on the standarisation of the data, great efforts should be made to syncronize the financial accounting of the different implementors or responsable agents of components (e.g. the donor

Danida, the LWF, the CowiConsult, the CERUDET, the DDF, the OCBO, etc.) as regards periods (following the calendar month), and headings (standard codes for activities such as salaries, benefits, allowances, training, travel expenses, office expenditures, fees, equipment, running costs of transport, running costs of other equipment, etc.). The standards of the local government of Uganda, or of the Rakai district, are to prevail, if priorities have to be made.

It is of great importance, that the routine collection and reporting of progress- and financial information is supplemented with spot-checks, i.e. a testing of the supplied data within a few localities in the field, e.g. parishes or subcounties, selected on a sample basis, or by the local representatives of the area. In this way the reliability is safeguarded, the quality of the completed works may be studied, and through interviews with the beneficiaries, physical testing or measurement, etc., any problems related to the implementation can be intercepted. The spot-checks may be undertaken by the local councillors (RC3, RC2 or Executive Committee RC1), either on their own initiative or upon request from the DPU, or by the staff of the District Planning Unit. In any case, the background information available for the quarterly report (subcounty or parish-wise reports) should form the basis for the spot-check. The results of the spot-check, including recommendations for improvements, can be distributed among the relevant RC-members, the representatives of the implementing agent and be presented to the district administration and relevant committees. Guidelines for such spot-checks should be elaborated by the District Planning Unit.

Monitoring of the effects of the development activities, i.e. the utilization of the outputs, will above all depend on the collection of information from the users in the villages. A simple system, where e.g. two villagers (one woman and one man) from some selected, illustrative local areas or villages against a modest honorarium on a running basis with agreed frequency collect observations from the actual utilization of e.g. the constructed schools (reduced PTA-fees), the rehabilitated roads (more traffic and reduced rates of transport), the training of teachers and birthattendants (a higher quality of education and health service), the aids-related activities (reduction in the transmission of the disease), and the approved grants and loans for rural production and trade (increased production and more profits). From very short, structured interviews with other villagers and beneficiaries, trained and supervised by the staff of the DPU, and supplemented with information from the implementing agencies, they can produce a continuous overview of the development of the effects within the Rakai district of the RDDP and the normal programmes in a cost-effective, fast and reliable way. Special studies, carried out e.g. by local consultants or university students, may also supplement such a system, but since they are of once-for-all character, they will rarely be able to describe the development over time.

The monitoring of the longterm impacts, i.e. whether the development objectives have been achieved, may in principle

proceed in the same way as the monitoring of effects. However, since the longterm impacts will be of a more general and abstract character, (e.g. improvement of the health conditions, reduction in the time consumption for transportation, changes in the educational level, and reduced growth of the population, which further in time will induce improved living conditions, increased agricultural production and higher standards of living), comparison with non-beneficiaries is required. Information from the villagers concerned accordingly has to be compared with more general indicators on the Rakai district statistics of health conditions, demography, agricultural production, etc. As a whole, it is difficult theoretically to prove the causal linkages between development interventions and impacts, and it requires a longterm persistence to obtain sufficient data to be able to draw a reliable picture of what has actually happened. However, as shown above, it's exactly the knowledge on the longterm impacts, which are most crucial and in demand. When designing the monitoring and evaluation system, the means of verifying the data of the longterm impacts, and the producing of information for the future evaluations (in particular ex-post types) should allways be clarified and kept in mind.

An issue of special interest for the Rakai District is the demographic development, i.e. data on the births, deaths, and migrations in and out of the district. Both for the taxation purposes, and to follow the effects of the programme activities, it is essential to up-keep a reliable national civil registration of all people of the district. At the village-level, the RC1 should be responable for the basic registration of all members of the families, and the changes (birth, death, migration or local removals) in this. The RC2 and RC3 could compile aggregate figures from these registers on a quarterly basis, since it is very important to maintain a continous flow of information, even to see seasonal variations. Finally, the DPU should compile the district population profile regularly from the information of the RC3s. It may be considered, if the subcounty offices (power supplied or battery/solarpowered) in the not so distant future were equipped with computers for this and other purposes to facilitate maintenance and exchange of the data.

Data for the monitoring has not only to be procured from the field, but also to be processed and analysed. It's a very important task of training to educate those officers and staffmembers, who are to monitor the development activities both for the RDDP and the permanent district activities. It will preferably be the ordinary civil servants of the administration (mainly the present or an extended DPU, and the Accounts Section), who will take care of the processing and analysis of the procured data and prepare the monitoring reports, but training may also be imparted to other implementing agents such as NGOs, the bank staffs, etc. At the same time, it is an advantage, if the functions are not too specialised. Staff, which collects the fielddata, should also be trained in reporting and computerisation of the collected data.In this way unwanted hierarchisation is avoided, and the disadvantageous consequences of the rotation of staff are counteracted. It should also be

secured, that the applied computer systems in relation to procurement, service and in particular training of staff can be based on local dealers and trainers.

6. What is the Content of the Information?

The continuous monitoring is to procure information related to the physical progress, the financial management, utilization of outputs and effects, interception of problems and the longterm impacts. For the Rakai District Development Programme, it may include:

* physical progress: indication of actual supplied input and produced output, seen in relation to the current plan of action, where the targets of each quarter and the current year are given. Examples of tabled data can be:

  - number of primary schools and classrooms rehabilitated, number of schools supplied with furniture,
  - number of training courses imparted subject-wise,
  - number of different types of DDF-projects, distributed subcounty-wise and genderwise,
  - number of different types of credit-schemes, distributed subcounty-and genderwise,
  - lengths of roads rehabilitated or maintained,
  - etc.

Maps, where covered/non-covered villages/parishes are plotted, give a simple, but very instructive overview of the spatial (i.e. geographical) progression.

* financial management: accounting of the individual activities, seen in relation to the current budget, where the quarterly and annual frames of funds are given. Examples can be:

  - expenditures of construction of primary schools, and supply of furnitures,
  - expenditures of training activities,
  - disbursement of DDF-grants,
  - disbursement of credit-schemes loans,
  - repayment of credit-schemes loans,
  - expenditures for rehabilitation and for maintenance of roads,
  - expenditures for local or foreign consultants,
  - salaries for employees department-wise,
  - transport expenditures,
  - etc.

Total figures are to be analysed per unit, per locality (e.g. subcounty), of the current period, and seen in relation to the completed physical activities. E.g. does the number of completed primary schools tally with the expenditures for the same?

* utilization of outputs: related to the designed indicators of annual targets, and to the so-called logical framework analysis. Examples can be:

  - number of primary schools, utilised by (number) of pupils,
  - number of completed DDF-projects, type-and genderwise,
  - number of repaid and profitable credit-schemes, and number of entrepreneurs, benefitting from the schemes, subcounty-and genderwise,
  - size and growth of the credit-scheme capital,
  - growth in the taxation base,
  - traffic counts of the rehabilitated and maintained roads,
  - etc.

* interception of problems: related to a.o. the assumptions included in the programme document, but also unforeseen consequences have to be intercepted. It might be:

  - problems related to the national and international development,
  - environmental impacts,
  - reliability of the collected monitoring data,
  - lack of support from authorities,
  - misuse of funds at different levels,
  - defects of constructions,
  - misunderstandings of the utilisation of outputs,
  - etc.

* longterm impacts: related to the development objectives of the district, as described in the RDDP document, or decided upon by the District Council. Impact might be indicated such as:

  - number of cases of diseases, in particular aids-related, subcounty-wise and genderwise,
  - infant-, children-and mother mortality of the district,
  - growth of the population of the villages,
  - changes of the distribution of the labour force in the villages,
  - development of the agricultural production,
  - change in attitudes towards e.g. maintenance,
  - etc.

It is necessary to provide information beyond the direct programme or district activities related to e.g. other health promoting activities (immunizations) or other influences of the agriculture such as the weather, prices, etc., to be able to interpret the longterm impacts more specifically. But all collected information has to cover the Rakai district, so comparisons with other areas of Uganda might be feasible.

7. How is the Information Communicated?

When the defined information is obtained from the different sources as mentioned, it has to be reported and targetted to the concerned parties. The design of the reporting is a very essential part of a monitoring system, and will probably be adjusted during the life of any system. But certain characteristics should be pervasive:

* Quarterly reports with total description of all monitoring of progress, financial mangement, utilization of outputs and effects, spot-checks implemented and longterm impacts. All activities are included, and all localities (subcounties) are covered. This type of report is to be used primarily by the district administration and the District Council. To be prepared every quarter (following the financial year of the district) with current accumulated data, making the fourth quarter an aggregate annual report. The quarterly report will be the input to e.g. the Executive Committee-meetings, where progress, problems, actions to be taken, etc., are discussed.

* Annual Programme Review-meeting on the basis of the annual report with participation of the decentral decisionmakers (Rakai District/RC5 and the Danish Embassy, Kampala), and maybe with representatives of the Ministry of Local Government. The Review-meeting is not to be regarded as 'annual negotiations' in general, but to submit recommendations for the budget support, and targets of the action plan for the coming year. The meeting could be part of a 3-year rolling phasing of the programme, where final frames are fixed annually for the budgets of the district for the coming year, preliminary frames for the next coming year, and drafts for the 3rd year.

* Summaries of Annual Report (max. 10 pages) with main results are forwarded to the central decision-makers (the country/technical advisory sections of Danida, and the Ugandan Ministries of Local Government and of Planning and Economic Development). From this report very short notices (1 page) for the top-management might be elaborated on whether the programme is progressing according to the plan, if any delays are met, or whether retrograde steps are experienced (e.g. unplanned detrimental effects). The summary of the data of the annual report may be utilised by the Danida for information to the Danish public and taxpayers.

* Information releases for the beneficiaries of the local areas, i.e. subcounties, are prepared in a number of versions with information on the general programme development as well as with subcounty-specific information on the activities within the local area (2-4 pages in Luganda). This will facilitate the feed-back, physical spot-checking and accountability towards the taxpayers of the subcounty in question.

ANNEX H:

Village-wise Impact Monitoring of Noakhali

(from Henrik A. Nielsen: Monitoring Rural Development in Bangladesh, Workingpaper to Seminar at Twente University, the Netherlands, Development Research Series No. 26, Department of Development and Planning, Aalborg, August 1989)

A B S T R A C T:

The paper presents in the context of Bangladesh, the Greater Noakhali area and the DANIDA-funded project of NRDP, how the rural development is monitored and evaluated. It claims, that traditionally the handy and assessable reality has been studied by the social scientists in a static way without including the qualitative aspects and long-term perspective sufficiently. An alternative system, presently being undertaken by the NRDP, of on-going village-wise impact monitoring is presented, and the applicability of modern information science techniques is discussed.

To check the reliability of the reported figures and the quality of the activities, a number of spot-checks are implemented after each quarterly report by the staff of the M & E Unit. The attention and the follow-up around these small surveys is quite great, both from the management and the components. In general, the components also submit a Qualitative Review-report monthly to present the status in short of their activities (as planned, delayed or ahead of plan e.g.), focus on constraints, and give information on steps taken to involve women in development.

To improve the monitoring at upazila-level, reports of the performance of specific upazilas from the nominated project-representatives (one adviser and one NRDP government officer) are discussed at the monthly Project Coordination meetings (i.e. those 8 months, where no quarterly meetings take place). The focus is specific, but very often problems are generalized, and solutions proposed. A very important aspect of the progress monitoring has been added lately, i.e. the spatial or geographical monitoring. By collecting information from the upazila-officers involved directly, using a standarized location-format, the M & E Unit has located the major 130 different project-activities village-wise in the upazilas on maps and on a database, making overall analysis possible of coverage, etc. Finally, it should be mentioned, that the M & E Unit is trying to decentralise it's monitoring by posting some of it's staff as Upazila Planning & Monitoring Officers locally[11].

2.3. The Effect Monitoring and Evaluation

As experienced elsewhere[12], it takes time to build up a monitoring system, and clearly, the project managers initially put emphasis on monitoring the input delivery systems, and later the outputs to the beneficiaries. However, also in this case of NRDP, demands have increasingly been raised on estimates of the effects of the project activities from outside, e.g. the joint DANIDA/GOB-Midterm Evaluation in May, 1988[13]. Even though the priority was to try to monitor the project activities themselves, so as to be able to know the inputs of NRDP before any system was set up to try to measure the results of the activities, a number of 'diagnostic studies' or 'evaluations of effects' have been made. The list, actually, is quite long, e.g. on training of cottage industry workers, informal credit scheme, health education, election of chairmen of cooperatives, etc.[14].

During 1988 a systematic approach of monitoring the direct results of the project activities for the beneficiaries has been drafted. This contains indicators of effects of the major activities of all components, thus linking each activity to a simple, but valid test of the direct result for those persons, who have received the project input. The NRDP, e.g. is supporting the farmers through the Agricultural Extension by funding additional Block Supervisors, selection of Contact Farmers, etc. Effect indicators are the production figures of the Contact Farmers involved (taken on a sample basis from the diaries of the Block Supervisors). For training-activities, like e.g. training of the cooperative Inspectors of BRDB, the objectives of the training have to be set in quite specific terms, i.e. making a performance-list of the participants to be expected and tested after completion of the training. Some of the drafted indicators have been tested in the field (some of the training-courses of the component of the Cooperative Training and Education)[15],

and they were found feasible for some courses, while in particular the indicators linked to the official classification system of the BRDB were not found feasible, since the system in itself was not reliable or unambigous[16]. It is the intension, that indication of effects is an exercise, which the project staff and the government officers at component-level shall undertake from time to time, with the advice from the M & E Unit, while the field-work needed should be limited to use of already available data, if needed, supplemented with field-data collected by the staff of the component. However, there is a great need for further elaboration of the indicators, testing, implementation and training of the componental staff in this regard, before comprehensive results should be expected.

2.4. Experiences of Impact Evaluation of NRDP

A number of the specific studies, mentioned above, might be termed 'effect' or 'impact'-studies, depending if the focus is only on the direct beneficiaries or the broader village-level. Of more general studies, two were made in relation to the Midterm Evaluation of May, 1988: 'Four Noakhali Villages - 9 Years Later' and 'Employment Effects of NRD-II'[17]. From a methodological point of view, in particular the first one is interesting, because it was one of the very rare kind of studies, where a baseline study actually was followed-up by a later restudy, and it clearly showed the difficulties in identification of the villagers after a period, the problem of re-finding original questionaires and lists of interviewees, and in general of establishing a reasonable survey-environment, which is similar to the one, in which the original baseline study was made - even if the same researcher and field-assistents (which was the lucky coincidence in this case) are participating.

This is also one of the major reaons, why the application of the large Project Baseline Survey, implemented during 1984-86, will be very difficult in the future. Though it's volumen is impressive, given the population situation in the surveyed villages, where the villagers as individuals and households are very mobile and changing relationships, and given the very flimsy registration of the population, it is extremely difficult to follow or establish the actual development, which has taken place over 5-10 years, not to speak of any causes of impact. For a number of reasons this report was characterized officially as a waste of money by the Midterm Evaluation[18], but even if the quality of a baseline survey is acceptable, if no on-going monitoring of the population development takes place, how can you monitor or evaluate changes in the poverty-situation of this population, or development of the socio-economic living-conditions, when the first and most important reactions or implications of the changes are death of children or adults, less or more births, migration to towns to find employment, break-down of households to survive, etc.? If such population changes are not monitored closely in an <u>on-going way</u>, the follow-up of a baseline survey 10 years later will be extremely difficult in a community, where no reliable population registration exists. The design of a survey restricting the included households and individuals to a fixed number thus in itself makes the survey static and unable to trace the dynamics of the population.

The idea of collecting data in a continous way from the villages of the project-area, giving information in a simple, but reliable way on a

number of topics covering the day-to-day life, not only of the direct project beneficiaries, but of all villagers, and emphasizing the population development, thus has gradually matured in the M & E Unit. However, only after the progress monitoring system has been routinized and working fully-fledged, it seems reasonable to establish an impact monitoring system. A pre-condition to measure the impacts of any project activities is to know, where the activities actually take place. The collection of data for the Village-wise Activity Register made this possible by the beginning of 1989. The present efforts of the M & E Unit accordingly is to develop a way, whereby the impacts of the NRDP-activities are monitored in general by following the changes of the living-conditions of the rural population in the area in a systematic and continous way. It shall at the same time give information now, so adjustments of project-activities are possible, and provide data, which could be used as basis for future evaluations. It will also give information, not only on the direct project beneficiairies, but on the general rural population, facilitating comparisons with other regions and studies of the country.

Since it is established as a system, which gives scheduled and on-going information in the impacts on the living-conditions of the rural population, it is termed an 'impact monitoring system'. It shall be seen as an attempt to provide data, which will facilitate evaluation, but it is not compensating for evaluation in itself. This will demand additional analyses, or special studies, which could be made of the villages included in the system. However, the implementation of the system will give much improved and documented clues to what is happening within the project-area during the coming years.

Before moving into the details of the 'Village-wise Impact Monitoring System' (VIMS), we will turn to the identification of the theoretical and practical problems, which have generated this system.

3. IDENTIFICATION OF PROBLEMS IN THE IMPACT MONITORING AND EVALUATION

Given the objective of being able to collect reliable data on the development of the living-conditions of the rural population in the context of Bangladesh, you face a number of difficulties, of which different strategies and methods of solutions have been tried, or as often not considered at all. Most of the problems do not tally with the traditional ways of doing socio-economic studies or the working pattern of the research organisations (or project structures), and accordingly are overlooked.

3.1. The Choice of the Handy and Assessable Reality?

The life in the villages of rural Bangladesh might on the face of it look quite the same, whether we are studying a small or a large village, whether it is old or new, or whereever the village is located. However, we don't really know. What is sure is, that most of the studies or on-going systems being set up, tend to concentrate on small, accessable and assessable villages. The M & E Unit made a collection of data from all 173 Unions[19] to get the names, location and number of

people of each village[20] in Greater Noakhali, since no reliable list is available. The result showed great variance of very small villages, from 30 families up to thousands of families, and in one upazila, Companiganj, 5 out of the 7 unions actually are one big village administratively with no further break-down. If the total population of the area is estimated to 4.8 mill. people, and the number of villages counted are 1.778, the average population of each village is 2.700, or with about 5 people in each household (family), the average village has about 540 households. But you will notice, that most of the surveyed villages of Bangladesh (and that list is very long) are smaller than average, or in a few cases cut-out pieces of bigger villages[21].

You rarely see studies of the larger villages as a totality, even as it is observed, that more people is actually living there to-day. It has also been noticed, that the bari-system[22] of clustering families and houses is very different in old and new villages. While baris contain up to 30 families in old villages, in new ones, in particular the settlements in the char-area, each house is each own bari, or you might say, that the bari-system doesn't exist here. Definitely, this has great implications for the understanding of the changing reality of rural life, for the position of the women, etc. But the number of studies, e.g. of the villages of the char-area, are small. Even if it is made, it might not be representative, since the chosen village is located close to the only existing road, to make access for the researchers easy[23]. The researchers are simply biased towards the handy reality, it has to be admitted.
The point is, that though most studies make a very systematic and satisfactory explanation on how the individual sampling or selection of households or individuals is done, the preceding selection or demarcation of the villages, e.g. in physical or local cultural terms, is not explained clearly. The reasons, of course, are that maps and registers of population are not available, and that the construction of lists (of villages, etc.) will require time and resources[24]. But while you may follow the rules of probability sampling closely in selecting the sample within the strata, you will probably not know, how the strate is related to the total universe, i.e. the project area in this case.

3.2. How to Monitor a Dynamic Population?

As mentioned above, the baseline survey of NRDP did not make it feasible to monitor the developments of the population in the future. However, this is not a unique case. At present, most studies or systems[25] work with a fixed sample of the population, which is then followed closely by frequent visits or re-studies. This makes it possible to closely monitor the selected households or even individuals within the fixed sample, depending on the frequency of the monitoring. The main problem is, that you don't catch the changes outside the fixed sample, e.g. households migrating into the village, or even the newborn members of the families. Your sample is normally fixed at household-level, and the social events around the sample are not covered. Since most systems are depending on professional investigators or enumerators, for reasons of scarce ressources the frequency of monitoring is as often quarterly or half-annually, which is not sufficient to cover e.g. the very important events of births and deaths of newly born babies. You might catch up by use of extensive interviews of the mothers, but without on-the-spot observation continously in the village itself, for cultural reasons

you very likely will miss a significant amount of data. In particular, when the need is for more reliable figures on migration between the rural and the urban areas, or the fertility and mortality of the different age-groups, the differences are decisive.

Our conclusion is, that some system of on-going observation of the total development of the village is needed to provide the needed data, in particular in the Bangladeshi context, where estimates and forecasts are more frequent than reliable statistical data on the recent past[26]. The unit of observation needs to be all-inclusive at any given time to secure the dynamics of the population.

3.3. The Unique Evaluation or the On-Going Monitoring?

The normal design of an evaluation of a rural development project follows the pattern of baseline survey-(midterm evaluation)-terminal evaluation. In the better cases, it is supported by data supplied from on-going project monitoring or diagnostic studies along the way. However, as shown above, this is not sufficient in many cases, in particular in the projects of rural development, where the project lifetime has to extend maybe over decades (to at all make substantial changes feasible). While the objectives of the project are made more attainable by extending the project period, possibilities of implementing the data-collection for the evaluations are reduced, if you only rely on the isolated or unique studies: memories fail, records are not kept, and the chance of refinding the children from then, who are now grown-ups with their own families, is minimal. The uniqueness of such studies make them less useful, and what is happening in the gaps in-between is a guess.

A less costly, faster and administratively easier way of study has been suggested as the 'rapid, rural appraisal'. In principle, an interdisciplinary team makes a fast field-work by combining the impressions of the individual team-members according to certain basic rules. It somehow is close to the 'informal sampling' which might go ahead of a more formal study, and clearly, a number of advantages are present. Such methods, however, do not solve all the gaps between the studies (though they might be less or smaller), and in particular they are detached from the universe of the project area making their significance obscure. The value, which they might indeed contain (in NRDP e.g. the spotchecks of the progress monitoring), is depending on the linkages to the on-going process of rural development, and to a continous monitoring of this process. However, this linkage are often not established or explained[27], and in particular qualitative phenomena occuring over time cannot be measured only by a single camera "snap-shot" form of exercise, as pointed out by Peter Oakley[28].

3.4. How to Include the Qualitative Aspects?

Monitoring is often associated with collection of quantitative figures of mainly economic or physical nature. However, the importance of also measuring the social effect and impact has lead to suggestions for social indicators, which anyway mostly are numerical figures, giving only a few clues to the qualitative changes, which are central to understand the processes of rural development. An objective of NRDP, as described in the Appraisal Report[29], is to involve the participation of

the beneficiaries in the planning and implementation of project activities, in particular through the process of formation of groups. While the number of groups and their nembers might be counted, the process of formation and the quality of the participation of the members needs to be analysed historically over time, and as an in-depth analysis. How to do this, we know very little about. One theme emerging in this field, is the 'participatory' approach, where the importance of including the project beneficiaries in any exercise to monitor and evaluate a rural development project is stressed. This is also found necessary in the Noakhali-context, while the technique of operation of monitoring the process of participation is still not adequately developed[30]. However, it should be tried, whenever possible.

In discussing how to choose the reality of the rural areas, it was advocated, that the totality of the villages should be included, and the method of 'informal sampling' has also been claimed to be difficult to place in the universe. The disadvantages, as mentioned by Casley and Kumar[31] are also, that the selection informally tends to be biased against the remote villages or households, the absent ones (e.g. the migrant workers, who are very important in Noakhali), the landless and the females. To include these qualitative aspects, the method of covering a cultural and socio-economic entirety, i.e. the full village, seems appropriate.

The qualitative aspect is also considered in the present efforts to encourage local participation in the monitoring not only of the activities of NRDP, but in the normal activities of the government agencies. As presented by Harry Blair[32], the question of accountability of the upazila parishads (councils) to the population they represent, is the hinge on which the decentralisation process of Bangladesh is turning. And the possibilities of the local population to 'monitor' the actions of the parishad are crucial. Since the NRDP-funding of development expenditures far exceeds the government-funded ones in the upazilas of Noakhali (in some upazilas 2-3 times the development funds of GOB), the monitoring of the spending ought to be a qualitatively learning process for the villagers, and they themselves should be involved actively.

Finally, two technical aspects are necessary to consider. First the question of language. It is evident, that all material, and all field-work of course has to be made in the language of the people, who live here, i.e. in Bangla. The investigators can only be Bangladeshi, but not only that, they also have to be accepted by the villagers, which is difficult for researchers, say of Dhaka-origin. Actually, the Noakhalis are the best suited for such jobs, or even the villagers themselves! This is an important cultural problem, which is often overlooked in the design of monitoring and evaluation. The language problem also penetrates into the world of computers, since few software programmes are available handling Bangla-data. And since most rural development projects, including NRDP, are burdened with not-fluently Bangla-writing-and reading advisers (the donors as often demand every project document to be presented in English), the language-problem is a huge, qualitative cleavage, which is not easily bridged. Secondly, the intention of involving local participation, if possible in an on-going monitoring process, e.g. in the monitoring of the nutritional progress of Bangladesh's future men and women, is not easy to take up for technical reasons. It has been suggested by Robert Torene[33], that child nutrition surveys using anthropometric measurements should be conducted on a continuing basis,

funded by USAID, since up to now such surveys have generally been implemented on an adhoc basis. This also relates to Noakhali, but to do it on a continuing basis, the technique and the equipment (i.e. appropriate weights, etc.) need to be used by staff or villagers residing in the villages permanently. Any solution demands more training or more ressources, than is usually available. The same technical constraints might be present in fields like agricultural production, livestock, etc.

3.5. How to Include the Long-term Perspective?

Most rural development projects are limited to rather short project-periods, at least seen in the light of the need for long-term qualitative change. However, the tendency is towards projects of 5-10 years duration, and though the donor and GOB might still agree on some kind of extension of the project in the same area, e.g. in Noakhali, the organisation of the project is probably changed. This raises the question of how to monitor and evaluate the long-term development past the completion of the (original) project, if the system has been anchored to the project organisation, and if, as seems most appropriate, the same indicators and details of on-going monitoring are to be maintained?

This question is rarely posed at the time of appraisal, or it is somehow assumed, that it is possible to implement an ex-post evaluation without having any monitoring after the completion of the project up to the time of the ex-post evaluation. It might be possible, indeed, but it would provide a much improved basis, if the monitoring and evaluation staff of a project had started collecting data early - preferably at the time of appraisal, and were able to continue collecting data well past completion to the day of the ex-post evaluation, as suggested by Casley and Kumar[34]. However, this will probably imply another achorage of the organisation, or at least cooperation, with e.g. research-institutes or universities (but still, of course, part of the project funding).

We will now return to the strategies and methods of the impact monitoring system, which is presently being established in NRDP, taking the discussed problems into account:

4. THE STRATEGIES AND METHODS OF THE VILLAGE-WISE MONITORING SYSTEM, (VIMS), OF NRDP[35].

As the concept of impact relates to the wider results, not only among the direct project beneficiaries, the monitoring of impact puts focus on the overall development or changes in the living conditions, which might be a result of the combined efforts of the NRDP, while specific linkages between single programmes or activities or even components rarely will be possible to establish. It will in itself be an achievement, if causal relations are established between project activities and development of the socio-economic situation. The relationship is tried to be established through collection of information from partly local areas, i.e. villages, where NRDP-activities have taken place, and partly from areas, where no NRDP-activities sofar have taken place.

The monitoring is an on-going process as far as possible, i.e. data are collected regulary at frequent intervals (monthly, quarterly or yearly)

depending on the topic. The topics are limited to a rather small number, so as to ensure simplicity, greater reliability, faster processing and total coverage. When the system is fully extended in 1990, it will cover all 15 upazilas of the project area with at least one local area (village) in each upazila. The number of villages, and their distribution upazila-wise will reflect the population proportions of the upazilas.

Great emphasis is put on monitoring the growth of the population (i.e. infant- and child-mortality, migration, household-development, fertility, etc.). This is for reasons of planning purposes of the project, to follow the implementation of activities, but also to establish a check on the development of the population growth, which is regarded as one of the most important measurements nationally as regionally. Finally, the demographic changes are in themselves regarded as reflections or reactions to changes in the socio-economic situation, individually as well as on household-level.

To be able to follow the dynamics of the villagers, the system uses local knowledge and observations supplemented with a good training and supervision of local, professional staff. From the villages are reported by one male and one female local resident 'village reporter', recruited on a honorarium basis, on different socio-economic topics. Some of the reports cover all households of the village (mainly the demographic data), some from sampled households of the villages, and some data are collected from the nearest local market, as a road-counting, from the local school, etc.

The overall intention is to establish a local network of reporting, which is reliable, supervised by the professional staff of the M & E Unit of NRDP, and which gives fast reports telling valid facts on the impact of the project activities in general, as well as on the general development of the Greater Noakhali area.

4.1. Objectives of the Village-wise Impact Monitoring System

The objectives of the Village-wise Impact Monitoring System (VIMS) thus may be summarised:

- to monitor major socio-economic topics related to the development and changes in the living conditions of the rural population of the project area, including the women, and to the possible poverty alleviation,

- to provide simple, but reliable data on the wider and more indirect results, i.e. impact, if any, of the NRDP-activities,

- to supply on-going information in a rapid form at relatively modest costs,

- to rely on local knowledge and reporters, who are permanently present at the village-level, combined with supervision by the local, professional monitoring and evaluation organisation,

- to report at regular, scheduled periods, which will make determination of possible causal relationships feasible,

- to establish a monitoring system, which will cover the whole project area, including all upazilas, and which will reflect changes in a dynamic way.

4.2. Selection of the Villages

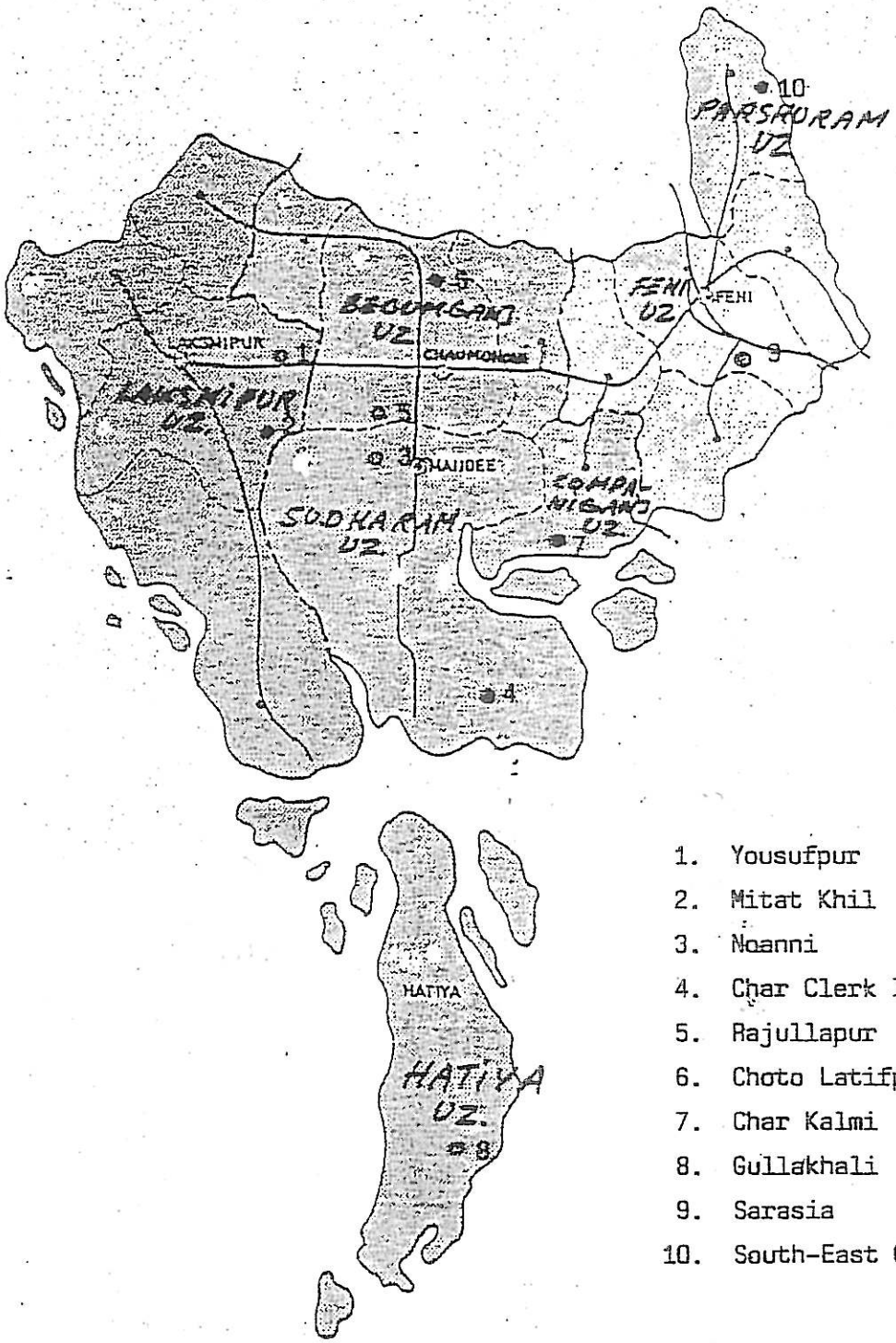
Selection of the villages involved three exercises: elaboration of the criteria for the overall and specific selection, establishment of a data-base, from which the actual selection could be made, and through visits in the field, making the final choice.

It is a main criteria, that the village is seen as a social and cultural entirety, and random, artificial fractions of it should not be carved out for monitoring purposes. If it is not possible to cover the whole village, then the part included shall be clearly demarcated physically and socially. The villages cover the population according to population of the upazilas, and in total there shall be a reasonable distribution between char-areas, areas lying close to towns and roads, and remote areas. All 15 upazilas will be covered so as to be able to note, if different upazila-policies are reflected in the villages. This however implies, that a total of 20 villages are included[36]. To overcome the practical problems, and to gain experiences, the system is established in two stages, each containing 5 'NRDP-villages' and 5 'non-NRDP-villages'. A number of more criterias have been used, e.g. to include villages of the Project Baseline Survey, of the special Rural Poor Programme, special 'cluster villages' and villages previously studied. The total size of the population in the included villages is estimated to be 20.000 persons, i.e. about 4.000 households, equaling about 0.5% of the total population of Greater Noakhali.
As mentioned, the M & E Unit had collected information on all unions and villages of the area through visits to the 173 union offices, thus providing a list of all villages with of the populations (as registered by the local administration), and located on sketchy maps. Next step was to sort out those villages, which are 'NRDP' and those, which are 'non-NRDP'. Though on the face of it a rather simple exercise, it took collection of data on all activities of the project directly from the componental officers at upazila-level, since village-wise distribution information was not available at the central level. Tested in Sudharam upazila[37], the needed information on the first 7 upazilas was only available by March, 1989[38]. It gave a.o. the rather surprising result, that the NRDP-activities actually covered about 90% of all villages of Greater Noakhali, if just one activity, e.g. a number of Contact Farmers of the Agricultural Extension-component, is present in a village. It thus indicated, that to find villages totally without project-activities would be difficult.

Based upon the criterias mentioned and the information on the activities of the villages contained in the data-base, a list of preliminary choice was made. Through visits to the villages, a final choice was made, including the process of clearly demarcating the physical/and or socio-cultural boundaries. Since the size of the actual local area included should not be larger than the male and female village-reporter can handle, and we wanted to include areas of larger villages, as

NOAKHALI PROJECT AREA

Location of Villages of VIMS (stage 1/1989)



1. Yousufpur
2. Mitat Khil
3. Noanni
4. Char Clerk III
5. Rajullapur
6. Choto Latifpur
7. Char Kalmi
8. Gullakhali
9. Sarasia
10. South-East Guthuma

NRDP-villages area indicated ○

Non-NRDP-villages are indicated ●

discussed above, demarcations following such boundaries were made in 4 out of the first 10 villages. The location of the selected villages are shown on the map below. It can already here be seen, that most of the NRDP-villages are located closer to upazila-headquarters and roads, while the non-NRDP-villages are more remotely located. This is not due to the bias of the M & E Unit, but is simply reflecting, where the NRDP-activities have taken place sofar.

4.3. Selection of the Village Reporters

A decisive criteria for the selection of the villages were if qualified candidates for the task as village reporters were available, both for the males, but in particular for the female reporters. The task should not be regarded as a full-time job, but will (apart from the census of the first month) give scope for 6-8 days of work per month (honored by taka 300, i.e. USD 10). The reporters are preferable permanent residents of the village (i.e. not in 'mobile' age or position), motivated for the task, and not having any other project-remunerated task. No age-limits are fixed, but more mature people preferred, in particular for the women, who should be able to move about in the local area all around the year. This in itself quite an extraordinary demand, since in the muslim-dominated culture of Noakhali women are normally not supposed to go outside their bari. Main emphasis is also put on reliability, and a high sense of quality.

The educational qualifications are difficult to meet. Formally, the male reporters should have at least S.S.C. (12 years of education), while the female reporters are required to have at least Class VIII-level. During the field-visits - every village was visited three times to call for applications, held interviews and make tests - the actual qualifications in writing and reading were tried, and quite large differences between the formal and the actual qualifications were found. It was not easy to find suitable candidates, in particular female ones, in the 10 villages selected for stage 1, and one preliminary selected area had to be shifted since no qualified candidates were available. It is remarkable, how fewavailable candidates one finds in most villages, i.e. there might only be about five females in the village (say 2-5%), who has more than Class III educational level. And among those a choice of the one, who qualifies otherwise, and is interested, has to be made.

It is thus in itself regarded as an achievement, that it has been possible to find male and female village reporters in all the villages. The background varies from housewives to farmers, village doctor and a few students. Many of the women have previously been trained and worked for the project, e.g. as voluntary teacher. As average, they are about 25 years with variations from 15 to 34. Whether these 20 persons are able to supply the wanted reliable information could be doubted by some social scientists. But as the objectives are to run a simple, fast system, which supplies locally available information and knowledge, in a way a participatory monitoring system, this approach has to be judged on what it delivers. And sofar, the villages reporters have met the expectations. In addition, their performances are supervised by the professional staff of the M & E Unit with a frequency of several times a month, and they are participating in training-courses every quarter, apart from the introductory training-course, imparted before they embarked upon the first task, the village census.

4.4. Selection of the Topics of the Village Reports.

The considerations on which topics or fields of study to include in the impact monitoring system have been inspired by the present debate on how to monitor poverty, which is on-going in Bangladesh. In fact, in designing the topics, it has been tried to follow as far as possible the topics and concepts used on other systems so as to make regional or national comparisons possible. However, since other studies rarely try to make a dynamic approach, our basic emphasis on the growth of the population, not only within the defined, fixed number of families, but also catching up with the newcomers, and keeping track of those disappearing out of the village, makes the focus different. This is done through a basic, simple census of all the selected villages, and by the monthly up-dating.

The female reporters will check one fourth of her families of the village each month, whether any births or deaths have occurred since her last visit. Including the basic census it means, that all families will be visited four times a year, which should make it possible to register all births and deaths, in particular of the infant mortality, not least the girls. The male reporters will check all households every month if any changes in their composition has taken place, i.e. if new households have been established (coming from outside or from existing household within the village), if existing ones have disappeared (dying out or migrated), or if household have been amalgated. This is done by collecting detailed information if physical changes are observed or heard about, not by repeating the basic, total census.

The basic census (implemented in April, 1989, in the first 10 villages) has given information on gender, age, name, membership of household, occupation and income, if any, of all individual villagers. Thus, a register of all persons is established, and this is up-dated every month, contrary to most other systems. Further, the basic census gives data on household income and land-ownership with the purpose mainly of enabling reasonable samples for smaller surveys, e.g. of landuse, wages, earnings, etc. The general topic of employment is illustrated through the annual total up-dating of all villagers plus quarterly surveys of the wages and earnings. Finally, data collected three times a year on the harvest and landuse also indicates the agricultural employment.

Information on production covers the agricultural crops, following the three major seasons, estimated at the household-level, as well as at the market-level, the livestock-production, followed closely by the female reporters, the fishery production (included in the quarterly earnings-scheme), and from the nearest market, the male reporter will collect data on the market-prices of the agricultural inputs and products bi-monthly.

To monitor the social development of the villagers, in particular of the poorest, the children and the females, is a top-priority of the project. It will consist of a number of sub-studies: small household-samples will give information on the social network or infrastructure of the individuals or families (informal as kinship or formal as parties, societies, etc.). Further, the local security situation has been pointed out as a major indicator of the living conditions of the rural poor. Half-yearly, data is collected on events of theft, assault, etc., from the individuals by the female reporter. The credit-situation or indebtedness of the

family and available assets will be described half-yearly for a number of households. Finally, the educational possibilities will be part of the total social situation, and data is collected yearly from the household and the nearest institutional level.

A long-term impact of the NRDP should be improvement in the health- and nutritional status of the population, in particular of the children and the mothers. Though the NRDP Health-component is only working in one upazila sofar, data will be collected from all the villages included on a half-yearly basis. They include expenditures on medical treatment, utilisation of health-facilities, standards of sanitation, incidences of illness, immunisations, and on sample basis, data from individuals on height, weight, upper-arm circumference, consumption of food during the last days, etc. Registration of the retailprices on food-items (done bi-monthly), will also contribute.

Finally, information on the general infrastructure of the village as well as the nearest local marked is procured, like yearly the available shops and institutions, their location, transport-time and costs to reach them, or half-yearly, the facilities of communication and transport. From the household-level, the standard of housing, including the fuel-situation, is described half-yearly.

Grouped in the six major fields, the topic thus are the following:

- population: growth-rate, births, deaths, fertility, mortality, migration, mobility, age, gender
- employment: occupations, seasonality, wages, labour-market
- production: agricultural, fishery, livestock, prices, small-scale industry, landuse
- social development: network, organisations, security, income, credit, indebtedness, assets, education
- health and nutrition: medical expenses, facilities, incidences sanitation, immunisation, nutritional status, food consumption, retail-prices of food
- infra-structure: communication, transport, housing shops, institutions, fuel

Apart from the scheduled topics, possibilities are open to take up small surveys on requests, or to re-adjust the data-collection if need be, e.g. because of unavoidable circumstances, natural calamities, etc. It should again be underlined, that the topics covered will indicate the general situation of the villagers, and not only the impact of the component of NRDP. To distinguish between the impacts of the project and other impacts, the analysis will separate the data collected from the NRDP- and non-NRDP-villagers. Whether this will provide a sufficient basis for determining causes of the impact or such linkages will be eclipsed by other circumstances, is not possible to maintain now. However, the impact monitoring system has been designed making it feasible to follow the development of the living conditions of the beneficiaries of the project as well as the rural population in general in Greater Noakhali in the coming years. Hopefully, the questions raised previously on the 'handy choice of reality', how to monitor a dynamic population, on the unique or on-going studies and how to include the qualitative aspects, have a least been given an attempt of answer. The question of how to include the long-term perspective, though, is not settled, but probably

will depend on the results delivered in the near future. We will in short present some of the first ones now.

4.5. Preliminary Results of the VIMS

The basic census was implemented in the first 10 villages by the 20 village reporters in April. The data, i.e. the questionaires of the 1.791 households in total (with 66% from NRDP-villages and 34% from non-NRDP-villages) gave information on the 11.124 people (of which 52.7% are male and 47.3% female) on distribution of age and gender, the structure of employment, income and landownership at household-level, and thus possibilities of making crosstables of these variables. Break-down of distribution of the population by age and sex in five-year groups (and one-year-groups for the youngest) is now possible for the first time, as shown in Table 1. The table indicates, that the growth of the population might be reduced, since the size of group below the age of 5 years is only slightly larger than the size of the group of survivors between 5 and 10 years. And this are actual figures, not estimates. Another interesting result is the gender ratio of total 1.1. (showing 112 males for every 100 females), while up to now, i.e. the census of 1981, Noakhali was the only (former) district of Bangladesh, which had a gender ratio below 1 as total, caused by the extensive migration to other towns or abroad. From the 10 villages in the VIMS it is seen, that only in the age-group between 20-25 years are there more females than males suggesting, that the migration still takes place, but to a lesser degree, or at least inside Noakhali. Follow-up upon this clue might show, if the migration has decreased[38].

The report of the basic census is presently under publication from the M & E Unit. In May were collected data on the up-dating of the household, the market prices of agricultural inputs and products, and earnings of 5 selected household in each village by the male reporters, while the female reporters collected data on births and deaths occurred, and the retail-prices of food-items and other essentials. In June a special training course was imparted to the female reporters to enable them to collect data on the health- and nutritional status of selected households, which they then did, equipped with measuring tapes and weights. The male reporters gave information on the institutional structure of the village and the nearest market. In this way, the topics will gradually be covered all around the year, and though the physical and cultural circumstances and constraints, in particular during the rainy season, are considerable, there is no doubt, that the data-collection, extensively supervised by the monitoring and evaluation staff, will be implemented as planned. However, the following processing, analysis and reporting might be the bottlenecks, the solution of which the success of the system will depend. Maybe, the application of 'modern information science techniques' can be of assistance?

TABEL 1: AGE DISTRIBUTION OVER ALL THE VILLAGES IN THE VIMS DATABASE, APRIL 1989

AGE CATEGORY	MALE		FEMALE		TOTAL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
AGE < 1	223	22%	234	23%	457	23%
1 <= AGE < 2	187	19%	208	20%	395	20%
2 <= AGE < 3	202	20%	175	17%	377	19%
3 <= AGE < 4	198	20%	230	23%	428	21%
4 <= AGE < 5	196	19%	170	17%	366	18%
	1006	100%	1017	100%	2023	100%
5 <= AGE < 6	209	19%	217	22%	426	20%
6 <= AGE < 7	182	16%	176	18%	358	17%
7 <= AGE < 8	251	23%	209	21%	460	22%
8 <= AGE < 9	123	11%	114	11%	237	11%
9 <= AGE < 10	238	22%	196	24%	434	21%
10 <= AGE < 11	101	9%	84	10%	185	9%
	1104	100%	996	100%	2100	100%
AGE < 5	1006	17%	1017	19%	2023	18%
5 <= AGE < 10	1003	17%	912	17%	1915	17%
10 <= AGE < 15	680	12%	580	11%	1260	11%
15 <= AGE < 20	634	11%	621	12%	1255	11%
20 <= AGE < 25	479	8%	527	10%	1006	9%
25 <= AGE < 30	435	7%	392	7%	827	7%
30 <= AGE < 35	345	6%	278	5%	623	6%
35 <= AGE < 40	354	6%	247	5%	601	5%
40 <= AGE < 45	209	4%	176	3%	385	3%
45 <= AGE < 50	168	3%	159	3%	327	3%
50 <= AGE < 55	134	2%	88	2%	222	2%
55 <= AGE < 60	142	2%	123	2%	265	2%
60 <= AGE < 65	83	1%	46	1%	129	1%
65 <= AGE < 70	93	2%	53	1%	146	1%
70 <= AGE < 75	42	1%	23	0%	65	1%
75 <= AGE < 80	35	1%	8	0%	43	0%
80 <= AGE	23	0%	-9	0%	32	0%
	5865	100%	5259	100%	11124	100%

5. THE APPLICABILITY OF MODERN INFORMATION SCIENCE TECHNIQUES

The questionaires or reports, which the village reporters have completed (in Bangla), have been transferred by the staff of the M & E Unit to the two micro-computer (IBM-compatible 'Multitech' and 'Sherry'), using the dBaseIII™ programme. Arnold van den Heurik, student of Business Administration of Twente University, designed the programme and wrote the manual for it[40]. All staff of the unit, i.e. 10 officers and two secretaries (4 of which are females), participated in the transfer of data from reports to the data-base, including the process of translating the information from Bangla to English, transcribing names, etc. The processing of the about 1.800 questionaires (each of 4 pages) took 5 weeks (in total 600 manhours), frequently interrupted by power-cuts, political strikes, heavy rains, etc. The device of Uninterrupted Power Supply (UPS), a battery-driven back-up, is invaluable!

However, in such a process, it is not possible to avoid mistakes, and some inconsistences need to be checked again in the field. The staff have been trained for some weeks in the use of the programme, but it is obvious, that the potential of analysis is not easily usable. This can be solved in the long run by further training, or further use of short-term consultants. The unit has utilised the computers for about 2 years now for the purpose of progress monitoring, and the experiences from this are very good: what previously was a tabulation-job of several weeks for more people, can now be done by one man in a few days. And in addition, it saves a lot in the reproduction phase, since it is very easy to make corrections and adjustments. We have also seen, that the 'hardware' -side of the computerisation is functioning well. Though the physical conditions are tough (rains, powercuts, failing or no air-conditioning at all) the machines seem to be able to sustain the disburbances, contrary to what might be feared.

The key issue is the analysis of the data, and a reasonable presentation of the report of the analysis (which we of course expect in English). The present staff will be able to do this, adviced in particular in the initial phase of the system. This, of course, might be supported by the application of the 'modern information science techniques', but it is a question of a learning process for the staff. Whether the modern techniques may speed the process of drafting the reports up, is an open one, but they might make the analysis faster, and even present the findings in a better way, e.g. graphically.

But it should not be forgotten, that even the application of the most refined information science techniques will not be able to improve any data collected from the villages, only to process it....

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NOTES AND REFERENCES

1. Henrik Nielsen: Development of the Population in the Greater Noakhali Area, Contribution to a Discussion Paper, NRDP-II, Aalborg, July, 1989.

2. 'Upazila' is the lowest level of government administration, which was upgraded by decentralising the decision-making, increasing the staffing and transferring the spending of funds to the local authorities of the former 'thana's through the administrative reforms of 1983. There are 15 upazila's in Greater Noakhali (4 in Lakshmipur, 6 in Noakhali and 5 in Feni district).

3. Shapan Adnan/M & E Unit, NRDP: Socio-Economic Trends in Greater Noakhali 1975-87, p. 58, M & E Study No. 91, Maijdee, April 1988.

4. Report of the Joint DANIDA/GOB Strategy Mission visiting Bangladesh January, 15 - February 6, 1989, Copenhagen, March, 1989.

5. Annual Report of DANIDA, 1977/78 and 1978, Vol. I, p. 111, Copenhagen, 1979.

6. Statement of Chairman Chr. Kelm-Hansen, Board of the International Development Agency, in preface to the Annual Report of DANIDA, 1985, p. 8, Copenhagen, 1986.

7. See Dennis J. Casley and Krishna Kumar: Project Monitoring and Evaluation in Agriculture, p. 17, IBRD, Washington, 1987.

8. D. Casley and K. Kumar (1987), p. 33.

9. D. Casley and K. Kumar (1987), p. 8.

10. For a more detailed discussion, see Henrik Nielsen: Final Report, July 31, 1986 - July, 30, 1989, M & E Unit, Study No. 140, Maijdee, June, 1989.

11. See Henrik Nielsen and Luis Herrera: Memo on Upazila Planning and Monitoring, M & E Unit Study No. 95A, Maijdee, June, 1988.

12. D. Casley and K. Kumar (1987), p. 14.

13. Evaluation Report prepared by a Joint DANIDA/GOB Mission, visiting Bangladesh from April, 5 to 29, 1988. Copenhagen, May 1988, p. vii: 'Project monitoring has been of limited importance for impact assessment as work has concentrated on project implementation. Up to now, it has been concerned mainly with financial project performance and recorded some of the physical aspects. Virtually no impact monitoring has taken place'.

14. For the complete list, see Henrik Nielsen (June, 1989), Henrik Nielsen: Annual Report, 1.7.87 - 30.6.88, M & E Unit Study No. 100, Maijdee, July, 1988, Henrik Nielsen and Floris Blankenberg: Annual Report, 1.7.86 - 30.6.87, M & E Unit Study No. 64, Maijdee, Aug.,

1987, and Floris Blankenberg: Annual Report, 15.7.85 - 14.7.86, M & E Unit Study No. 35 A, Maijdee, July, 1986.

15. Testing of Effect Indicators of Cooperative Education and Training, M & E Unit Study No. 126, Maijdee, June, 1989.

16. See also: Monitoring Development of BRDB-Cooperatives, M & E Unit Study No. 122, Maijdee, February, 1989 (draft).

17. Ann-Lisbet Arn/M & E Unit: Four Noakhali Villages - 9 Years Later, M & E Unit Study No. 87, Maijdee, April, 1988, and M & E Unit: Employment Effects of NRD-II, Study No. 88, Maijdee, April, 1988.

18. Evaluation Report (May, 1988), p. 109.

19. 'Union' is the smallest administrative unit in Bangladesh. It has an elected Union Parishad (Council) of representatives, but only one Union Secretary as employed clerk. There are about 5-20 unions in each upazila (with Begumganj Upazila in Noakhali district as the largest in the country with 27 unions), and a population of 10-20.000 inhabitants, i.e. 2-5.000 households.

20. Survey of Union Planning, M & E Unit Study No. 74, December, 1987.

21. E.g. Ann-Lisbet Arn: Noakhali Villages, CDR Research Report No. 6, Copenhagen, 1986. The number of households of the villages Ramapur, Yussufpur, Madhupur and Hasanpur were 132, 183, 364 and 317 respectively. See also design of BIDS: Monitoring Rural Poverty in Bangladesh, A Research Proposal, Dhaka, March, 1989, p. 24: 'In the third stage, four villages are chosen at random from each upazila with household strength not exceeding 250 or falling below 150'.

22. 'Bari' is 'home' in Bangla, where the joint family lives in a cluster of nuclear families, each having a 'chula', i.e. a cookingplace. In the bari, several houses are usually grouped together, often with a common pond or other facilities.

23. Such is the case of Pur Char Jabbar, the village chosen by the Long-Term Village Impact Study of BARD, Comilla, in Sudharam Upazila, Noakhali.

24. As mentioned by D. Casley and K. Kumar in: The Collection, Analysis and Use of Monitoring and Evaluation Data, IBRD, Washington, 1988, p. 80.

25. See e.g. BIDS (March, 1989), and the SIDA-funded Rural Employment Sector Programme (RESP): Impact Monitoring and Evaluation System (IMES), A Methodology Paper, Central Planning and Monitoring Unit, Dhaka, 1988.

26. Note, that the President of Bangladesh was awarded a prize of the United Nations in 1987 because his administration was credited a reduction in the growth-rate of the population of Bangladesh from 3.2% in 1981 to presently 2.4%, though the latest population census

took place in 1981, and the figure 2.4-2.5% probably refers to the estimates which the Planning Commission made before 1985 during the elaboration of the 3rd Five-Year Plan.

27. E.g., no details of the monitoring follow-up are given in RESP (1988).

28. Peter Oakley: Conceptual Problems of the Monitoring and Evaluation of Qualitative Objectives of Rural Development, Community Development Journal, Vol. 23, No. 1, 1988, p. 3-10.

29. But significantly enough, omitted in the Project Proforma of GOB.

30. See P. Oakley (1988), p. 7.

31. D. Casley and D. Kumar (1988), p. 81.

32. Harry Blair: Decentralisation and the Possibilities for USAID Assistance to Bangladesh, Trip Report on visit to the USAID Mission, Dhaka, July-August, 1987, Dhaka, November, 1987, p. 11.

33. Robert Torene: Will the Real Bangladesh Please Stand Up! Improving the Objectivity of Statistical Programmes, Paper, July, 1988, U.S. Bureau of the Census.

34. D. Casley and K. Kumar (1987), p. 113.

35. For a full description of the design, see Henrik Nielsen/M & E Unit: Villagewise Impact Monitoring System (VIMS), Vol. 1: The Design of the System, Study No. 132, Maijdee, May, 1989.

36. For details, see Henrik Nielsen/M & E Unit (May, 1989), p. 11-12.

37. M & E Unit: Village-wise Location of NRDP-Activities, Sudharam Upazila, 1988/89, Study No. 124, March, 1989.

38. M & E Unit: Village-wise Location of NRDP-Activities, 7 Upazilas, 1988/89, Study No. 134, July, 1989.

39. See Shapan Adnan/M & E Unit (April, 1988), p. 8, for figures of 1981-census of all Noakhali.

40. Arnold van den Heurik/M & E Unit: Manual to the computerised information system of the VIMS, Maijdee, June, 1989.

ANNEX I:

Experiences from Other Bangladeshi Projects

(from Henrik A. Nielsen: Report on Fieldtesting in Bangladesh of a Model for the Monitoring of Danida. Department of Development and Planning, Aalborg, February 1992)

EXECUTIVE SUMMARY.

With the objective of developing the monitoring of the assistance effort qualitatively, a 2-stage assignment for the Evaluation Unit of Danida is presently under implementation. Based upon a desk-study, an "ideal" model for the monitoring has been designed, and subsequently tested in Tanzania. This report presents the testing of the model and collection of further material from the field of a number of rural development and water supply projects in Bangladesh.

Updating the status of the Water Supply and Sanitation Project in Chauhomoni and Lakshmipur, the Noakhali Rural Development Development Project-2, the Rangpur Region Rural Development Project, the Rural Employment Sector Programme-2 and the Rangpur Dinajpur Rural Services, it has in general been found, that the competence and role of the local government system is being questioned. Further, the actual financial content of the decentralisation strategy is being reduced to nil, leaving the upazilas to mobilise their own resources for development purposes.

The specific status of the selected projects can be seen as one project in the initial stage (Water Supply), two projects at the midterm (RRRDP and RESP-2), one project phasing out (NRDP-2), while the RDRS has a more longterm perspective. They face two challenges now: first, whether a change, if any, in the decentralisation strategy will have bearings on their basic design of participationa and mobilisation, and secondly, how to sustain the efforts of group formation and the benefits developed, after the completion of the respective project periods.

The current monitoring systems of the five projects present some similarities, though the system of the Water Supply Project is as of yet only a sketch. All systems are mainly progress monitoring, including possibilities for combined physical and financial monitoring. Effect-monitoring is now being introduced and improved in most projects, and the availability of micro-computers in all projects facilitates the processing. However, only in the RDRS is the level-wise processing combined with the central, computerised project overview, thereby

offering all involved an immediate access to the information obtained. All systems only monitor the direct beneficiaries of the activities, while the general impact on the rural community or the non-beneficiaries is not assessed.

It is suggested as main adjustments to the monitoring systems, that they should cover all dimensions of the intervention, i.e. the project activities, the geographical area and the beneficiaries. The introduction of the micro-computers has now made this feasible, and the introduction at the local administrative level of pc's should be supported. Simultaneously, the identification of the beneficiaries is suggested to be improved e.g. by means of membership-codes and -cards. The reporting is recommended to include monitoring of effects, results of spotchecks, etc., and to form the basis for Annual Review Meetings, and later Annual Summaries and Notes for the top-management.

Specifically, for RRRDP an Union-wise and Activity-wise survey and registration is suggested, while the RESP-2 might improve the utilisation of the computer facilities e.g. for group-registration, monitoring of disbursement of credit and income-generating activities. The phasing-out of the NRDP-2 contains the problems of completing the Activity-register for 1991/92, fielding of the proposed monitoring of the RPP (where the institutionalisation of the system within the BRDB is stressed), and for the future: safeguarding the compatibility of the monitoring of all the NADEP-activities, and, as the most important demand: to secure, that the efforts and experiences invested over the last 15 years in the Project Documentation Centre are well kept, maintained and available within the project area of Noakhali. Finally, for the RDRS, the key issue is to follow the graduation process of the groups formed and the beneficiaries trained.

New possibilities related to the institutional anchorage of the monitoring systems have emerged. Major improvements within the monitoring and evaluation sections of the national agencies have been observed, and it is strongly recommended, that these efforts are supported by the donors, as they will increase the sustaining of the monitoring of the projects. Meanwhile, the application of computers should also be followed by a change in attitudes towards the use of information, the accountability of the governmental authorities, and the accessability by the public to the information. Training to achieve such change is suggested

to be supported, and a closer co-operation of monitoring the outputs and effects with the authorities at local level and at national level is recommended. For the projects phasing out, special funding may be provided for the bridging and sustaining of the monitoring already on-going, but soon to be discontinued.

It is found feasible to reduce the costs of the monitoring in the projects of RESP-2 and NRDP-2/NADEP, depending on how well the systems are integrated in the ordinary institutions, while future investment in local computers also will make reduction possible in RRRDP and RDRS. An adjusted monitoring system would imply, that the basic datacollection is done by the field-level workers, that area-reports are processed and elaborated by the upazila-staff, while the central or district-level professional staff is responsible for design, training, spot-checking and compilation of project-reports. Utilisation of cars is suggested to be minimised, and mc's are issued on installment/lease-contracts.

The experiences from the field monitoring of other donors like SIDA, NORAD and UNDP show, that a number of interesting ideas and new tools might be considered: the institutionalisation of an Annual Review Meeting (ARM), the emphasis on the development of the capacity of identified local institutions and the stress on the responsibility of such local institutions for the planning and monitoring, the difficulties in replicating a research-designed monitoring system, the possibility of subcontracting the monitoring to a local NGO, and the feasibility of using micro-computers at the operational level. However, the implementation of the key issue of sustaining the monitoring as a non-project activity is still pending.

It is concluded, that the designed monitoring model is applicable for the studied rural development and water supply projects in Bangladesh. A number of improvements is suggested to be added, like the issue of identification of beneficiaries, or to be further stressed, like the importance of sufficient feed-back on the reports received, and the emphasis on the main responsibility for the monitoring of the development lying with the local community, authorities and institutions involved, and not depending on the donor

ANNEX J:

Experiences from Other Tanzanian Projects

(from Henrik A. Nielsen: Report on Fieldtesting in Tanzania of a Model for the Monitoring of Danida. Department of Development and Planning, Aalborg, July 1991)

EXECUTIVE SUMMARY

Aiming at the development of the monitoring of the assistance effort, a 2-stage assignment for the Evaluation Unit of Danida is under way. Based upon the desk-study, an 'ideal' model has been designed, and the present report is the result of field-testing the model applied to water supply projects in Tanzania.

Updating the status of the Regional Water Supply Projects in Iringa, Ruvuma and Mbeya and the Bagamoyo District Water Supply, the reintroduction of local governments has had significant consequences for all activities at the local level. Major problems concerning guidelines and sufficient funding are outlined.

The Regional Water Supply Project's phase III should emphasize the operation and maintenance of the handed-over schemes, but expenditures and the organisational structures are still accentuated by the construction activities.

The community participation elements, i.e. the Village Water Committees and the water funds, are under development, but an unplanned tendency to undertake repairs outside the water funds, and a growth in the number of private house connections, as well as an initial market for spareparts, has been observed. More data and analysis on these tendencies should be provided.

The Bagamoyo District water supply schemes are entering their completion, and though funding for the operational phase is not agreed upon, a number of practical steps in line with the Water Sector Policy is already under implementation.

The current monitoring system for the Regional Projects is based upon the work of the Mobile Units. It is not expected, that the planned transfer of units to the district level will take place.

The reporting output is a double one, but physical and financial data are seperated. The elaborated LFA is not yet utilised for monitoring purposes, and effects are in general not monitored. For the Bagamoyo District, the monitoring is limited to physical progress of the construction.

It is proposed as main adjustments of the monitoring systems, that all should relate to the agreed Plan of Operation, and that monitoring of effects should be upgraded, in particular in relation to community participation. For the Regional Projects a single-line system should be aimed at, and collection from the field should be the task of the CDA's, while the Regional Mobile Units should concentrate on spot-checking and analysis. The most urgent task for the Bagamoyo monitoring is to systematize the data into a register, and train the present staff.

For the longterm perspective, the institutional anchorage of the monitoring systems is based upon the overall view of the village development. The Planning Officer of the District Commissioner's Office is seen as the focal point at the local level with linkages to the Regional Planning Office and the Ministry of Regional Administration and Local Government. A gradual transmission however, of activities and responsability, is foreseen.

The costs of the current monitoring are estimated to be reduced, if the proposed adaptations of the monitoring systems are implemented, i.e. reduction of the Regional Mobile Units, no implementation of District Mobile Units for monitoring purposes, and introduction of an installment/maintenance-contract scheme for the motorbike-users (CDA's).

The available experiences of other donors, i.e. NORAD and SIDA, show the same tendencies regarding longterm monitoring set-up, though neither of them have yet developed effect-monitoring.

In general, the suggested model is found to suit the reality of the field. A number of specific improvements are suggested.

ANNEX K:

Village-wise Impact Monitoring of Rakai

(from Henrik A. Nielsen: Rakai District Village-wise Impact Monitoring: Design of a System. Rakai District Planning Unit, Rakai, October 1994)

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Draft

Rakai District Village-Wise

Impact Monitoring: Design of a System

1. Background

A paper on the Monitoring and Evaluation of the Rakai District Development Programme, funded by Danida, was drafted in October, 1993, and in principle agreed upon by the District authorities subsequently as well as the donor. Accordingly, progress monitoring of a number of the major activities of the RDDP-1 has been initiated from January, 1994, on a pilot basis, and draft Quarterly Monitoring Reports have been delivered and discussed by the District Planning Committee. However, since the accounting of activities are not yet up to the needed level of timely and compatible reporting, the progress monitoring system is still to be further improved. With the reorganisation of the District Finance Office, and the integration of all District Departments in the system from the beginning of the financial year 1994/95, the scope for such improvement is raised.

Further, through the elaboration of Plan of Operations by all Departments as part of the planning process for the new financial year, quatitative and qualitative indication of outputs, utilisation of the same by the direct beneficiaries, i.e. effect indication, is also feasible now, not only for the RDDP-1 components, but for all activities of the District Administration.

Finally, in this paper is presented the design of a village-wise impact monitoring system, which is to indicate the more indirect or wider results of the implemented activities for the general population in the District, not directly benefitted by programme or other activities. Some technical details are described in the Annexes (Selection of Villages and Terms of Reference for Village-Reporters), while further information (Design of Questionares for Specific Topics, Instructions for Fieldwork, Dataprogramme, Training Curriculum, Etc.) is forthcoming.

2. Concepts and Objectives

The basic idea of the impact monitoring system is to be able to acquire continuous information from the rural communities of the District, which in a simple, but reliable way on a number of crucial topics covering the day-to-day life, not only of the direct beneficiaries of the District activities, but of all villagers, tell if and how the development process is succeeding. F.ex. is the population growing, and how much? Is the nutritional status improving or deterioating? Is the agricultural production increasing or decreasing? Are there any shift in the crops? Etc.

The system shall in a sustainable way produce and analyse such information primarily to benefit the planning and monitoring of the activities of the District. At the same time, it will produce information to the Sub-Counties and local communities involved. Moreover, though not designed as a project activity, the impact of the Danida-funded donor activities will also be included as an integral part of the system. Finally, a very important aspect is to make it compatible with the efforts carried out at the national level, f.ex. by the Department of Statistics and the Ministry of Agriculture.

To distinguish between the monitoring and evaluation concepts, the following definitions might be understood:

* progress monitoring is the activity, whereby the inputs and the outputs of the interventions are followed and reported physically and financially, as far as possible both qualitatively and quantitatively,

* effect monitoring is the activity, whereby indicators of the immediate results of the interventions for the direct beneficiaries are studied and estimated, and

* impact monitoring is the activity, whereby indicators of the more long-term or wider results of the interventions for the general population, not directly benefitted, are studied and estimated.

The impact monitoring thus puts focus on the overall development or major changes in standards of living, which might be a result of the combined efforts of the District and the Rakai District Development Programme, while specific linkages between individual programme components or activities and long-term results rarely are possible to establish in details. It will in itself be an achievement, if causal relations are established between District or programme activities and development of the socio-economic situation. This relationship will be tried through collection and comparison of information from both villages, where the activity-level of the District/RDDP has been high, and from villages, where no activities sofar have taken place. During the coming years District/RDDP-activities might take place here also, but as a basic start, villages with no, or very limited activity-level, are selected as control areas.

The impact monitoring shall at the same time give information now, so adjustments of activities are made possible, and provide data, which may be used as basis for future evaluation. However, it is not an evaluation in itself. This will demand additional analysis, or special studies, which could be made on the villages, which are included in the impact monitoring system. But the implementation of the system will give much improved and documented clues to what is happening within the area during the coming years.

The monitoring will be an on-going process, i.e. data is collected at regular frequencies, monthly, quarterly or yearly, depending on the topic. To ensure simplicity, the topics will be limited to a rather small number, and emphasis is put on greater rreliability, faster processing and wider coverage. Special importance is attached on efforts to try to follow the growth of the population in view to get more reliable figures on infant-and child mortality, on migration, on development of households (sizes, break-down, new establishment, etc.), and on birth-figures. Through a base census in the selected villages as the first report, a village register of all the households and individuals is established, from which on-going up-dating will be made.

Demographic changes are reflections and reactions to changes in the socio-economic situation, at individual as well as at household-level. This make the need for a dynamic design of the monitoring system inevitable. To be able to follow such dynamics, you would either have to rely on heavy, professional presence in the localitites concerned over a very long period (in reality permanently), or use the local knowledge and observations, supplemented with a good training and supervision of local, professional staff. The designed system is built upon the later concept. The reporting from the villages will be done by one male and one female local resident 'village reporter', recruited on a honorarium basis. Some of the data will be from all households of the village (mainly the demographic data, some from sampled households of the village, and some data may be collected from the nearest market, from the schools, the roads, etc. Special topics can be taken up on request from time to time.

Overall, it is the intention to establish a local network of reporting, which is reliable, supervised by the Planning Unit, supplies fast reports, which will tell valid facts on the impact of the District/RDDP-activities as well as on the general development of the Rakai District.

The objectives of the Village-wise Impact Monitoring System (VIMS) thus can be summarized as follows:

* to monitor major socio-economic topics related to the development and long-term changes in the standard of living of the rural population, including the women, of the Rakai District area, and to the possible poverty alleviation,
* to provide simple, but reliable data on the wider and more

indirect results, i.e. impact, if any, of the District-and RDDP-interventions,

* to supply on-going information in a rapid and sustainable way at relatively modest cost,

* to rely on local knowledge and reporters, who are permanently present at village-level, combined with supervision by the local, professional planning and monitoring organisation,

* to report at regular, scheduled intervals, which will make indication of possible causal relationships over longer-term periods feasible,

* to establish a monitoring system, which will cover the whole District area, and which will reflect changes in a dynamic way.

3. Selection of the Topics for the Village Reports

As the system is emphasizing a dynamic approach, taking the mobility and growth of the village population into account, instead of using fixed samples as is often the case in one-time studies, the growth, the births, deaths, fertility, mortality, migration, mobility, etc., not only within the defined number of families at the outset of the system will be followed, but efforts to catch up with the newcomers and keeping track of those disappearing out of the villages will be included. This will be done through a simple census of all the selected villages, and by monthly up-dating in two ways:

The female reporter will check one fourth of the families of the village each month whether any births or deaths have incurred since her last visit. Including the basic census, it means, that all families will be visited four times a year, making it feasible to register all births and deaths, giving data sufficiently reliable also of dates of the events, and in particular, to give information on the infant mortality, which is a very difficult topic, not least of girls.

The male reporter will check all households (as a totality) every month to see if any changes in their composition has taken place, i.e. if new households have been established (either coming from outside the village, or from an existing household within the village), if existing ones have disappeared (by dying out or migration), or if existing households have been divided. This task will mainly be done by observation by the male reporter, since it is not the intention to repeat the basic census every month. If he sees physical changes in the village or is told about changes in the households, he will try to get detailed data on who is moving in or out, etc.

The basic census gives information on gender, age, name, relation

to head of household, disability, occupation and income, if any, of all the individual villagers. Thus, a register of all persons is established, which is regularly being up-dated. This is a major difference from most other systems. In addition, the basic census gives data on household income and land ownership. The purpose of this is mainly to be able to make reasonable samples of the families for the use of smaller, detailed surveys, e.g. of landuse, wages, earnings, employment, debt, etc.

Information on production and economic activities is collected in several ways. Following the seasons, the size of the harvests (agricultural crops) will be estimated from selected households, as well as from the markets. It is intended to train the village-reporters in methods of measurement, assisted by the Ministry of Agriculture. The livestock production will similarly be followed closely in a number of households with poultry or cattle by the female and male reporter respectively. Information on fish catches will be taken from the relevant villages. From markets, the prices of agricultural and other products will be monitored. And from the households, the consumer expenses and wages will be followed. Special information on the money supply and credit-availability can be collected both from the households and from the financial institutions of the District.

The educational situation is a key concern for the developmental perspective. General statistical information on literacy, drop-out rates, school-fees, and PTA-payments, already available, can be supplemented with qualitative data from a selected number of households offering explanations and causal linkages. Special information on the vocational training and relations between the education system and the labour market can also be established.

A long-term impact of the development interventions should be an improvement in the health-and nutritional status of the population, in particular of the children and the mothers. Data on the household expenditures on medical treatment, utilisation of health-facilities, standards of sanitation and water supply, incidences of illness, immunizations among children and mothers, etc., will be collected. On a sample-basis, data from individuals on height, weight, upper-arm circumference, consumption of food during last days, etc., can also be gathered after special training for this purpose, and using simple equipment.

The social welfare of the villagers, in particular the poorest, the children and the females, is an important objective and an area for impact-study. It can be described through the fields of the social network of the individuals or families, either informal (kinship, friends, etc.) or formal (organisations, RCs, societies, etc.), the local security situation (theft, assault, etc.), and the credit-situation or indebtedness of the familiy. A number of households will be sampled for small studies of the social welfare in the villages.

Finally, information on the general infrastructure of the village in case will be gathered, including the availability of shops, institutions and offices, their location, transport-time and

costs to reach them, facilities of communication (bus/taxi-routes, newspapers, radio, television) and transport-fares. From the households, the standard of housing, power-supply and energy, will be observed.

The topics included can be summarized as follows:

* population: growth-rate, births, deaths, fertility, mortality, migration, mobility, age, gender, disability, family/household-size and composition,

* production/economics: agriculture, fishery, livestock, small-scale industry, credit, debt, money-supply, consumption, prices, wages, employment,

* education: literacy, enrollment, drop-out rates, school-fees, PTA-fees, vocational training,

* health: morbidity, mortality, medical expenses, incidences, immunization, nutritional status, food consumption, sanitation, water supply,

* social welfare: network, organisations, security, family development, indebtedness,

* infrastructure: communication, transport, housing, shops, institutions, energy, power-supply,

The schedule of topics and the collection of data for one year is to be elaborated carefully. Most topics will only be covered through yearly or halfyearly reports, while the production information will be more frequent, following the seasons. Only the population data will have to be up-dated every month. The schedule shall leave open possibilities of taking up small surveys made upon special requests, or to re-adjust the data collection because of natural calamities, etc.

4. Selection of the Villages[1]

A precondition to measure the impact of any development intervention is to know, where the activities of the intervention actually take place. Thus, a total registration of the location of the activities implemented, i.e. the establishment of a village-wise spatial activity register is a parallel and unavoidable data-collection to be made at the same time as the design and other preparations are undertaken. This registration will f.ex. tell, if the villages selected include activities of RDDP or may be called non-RDDP villages.

Conducting interviews in all or even most of the villages within

[1] This section has been drafted by Economics Student Frank Rothaus Jensen, Aalborg University, as a trainee-task.

the Rakai District is obviously not feasible because of the constraints of time and available resources. Hence, to economize, a strategy of sampling has been chosen where the focus will be put on 10 carefully selected villages. Thus instead of collecting information from all villages in the district, the wanted data will be gathered from only this sample, which will be taken as a representative of the whole.

This method has been found most suitable in the balance between the needs of the District and the available resources. Moreover, an advantage of this monitoring system is that it rather easily can be adjusted to varying needs for, kinds and quality of wanted information, because of the many different surveys it makes possible by the use of a limited number of respondents, and hence enumerators (villagereporters).

4.1 Criterias Utilised

It seems obvious that the described method of data collection requires, that the 10 villages in question should be carefully selected in order to represent the District as a whole and thus minimize bias. For instance, a major issue here is to obtain the same occupational distribution in the sample size as within the Rakai District. This criteria can be fulfilled through an analysis of occupational composition of the District. The criterias, which are to be fulfilled by the sample of villages are:

* the selected villages should reflect the occupational distribution of the District, and cover different geographical and socio-cultural areas;

* the number of selected villages within each county should correspond to the county's share of the total population in the district, and reflect the occupational features of the county;

* among the 10 villages in question, 5 should be villages where RDDP activities are carried out, and 5 should be villages where none or at least very few RDDP activities have been registered at the start of the system;

* the numbers of households in the villages selected should be fairly alike in order to avoid bias and maintain the equal weighting that should be secured by the selection strategy;

* in order to obtain the highest possible quality, validity and speed in the surveys, the number of households should balance the capacity of the villagereporters, and thus not exceed 200 (which are considered to match the capacity of the villagereporters fairly well); in addition the numbers of household should not be less than 100 in order to keep the respective weighting of the villages;

* and, moreover it is of vital importance that there are qualified village reporters of both gender available in the sampling villages.

4.2 Selection Technique

In order to fulfill the criterias above, counties, sub-counties, parishes and finally villages were classified according to the objectively verifiable criterias. The first step in this procedure was to secure that the four counties were represented according to their share of the total population.

COUNTY	POPULATION	POPULATION IN % OF TOTAL	NO. OF SAMPLE VILLAGES
KABULA	53,100	13.8	2
KAKUUTO	68,341	17.8	2
KOOKI	131,966	34.4	3
KYOTERA	130,094	33.9	3
DISTRICT	383,502	100	10

SOURCE: The 1991 population and housing census, Rakai District.

As the table indicates, 2 villages should be selected from Kabula and Kakuuto county, and 3 should be selected from Kooki and Kyotera county.

Since the occupational structure of the district also should be reflected by the sample, the selection of villages involved an analysis of the mentioned occupational distribution; but since these figures only exist on district level, the exercise had to be divided in two steps where the step was the mapping of each county's dominating economic activities. The 5 largest occupational groups are shown in the table below:

OCCUPATION GROUP	NO. OF WORKERS	% OF TOTAL
AGRICULTURE	102,834	75.5
ELEMENTARY	14,687	10.8
SERVICE	7,042	5.2
CRAFT WORKERS	5,996	4.4
ASSOCIATED PROFFS.	3,456	2,5

In order to determine the specific features of the counties and include these in the sample, the following table was constructed.

Area in sq.km.	CULTI-VATION	RANCHING	OPEN GRAZING	FOREST	TOTAL
KABULA	52	272	277	62	885
KAKUUTO				162	1901
KOOKI		270			1289
KYOTERA	430	266		182	919

SOURCE: Rakai District Environment Profile

Kabula: is sparsely populated and mainly covered by dry Acacia savanna with occasional patches of grass savanna. The poor forest cover can mainly be attributed to the large herds of cattle which are left to roam freely by the herdsmen, resulting in poor regeneration of trees. In addition the county is subjected to seasonal burning with the purpose of grass renewal.

Thus, since the most common occupational feature of Kabula is ranching, it was decided that one village from Kabula county should be a ranching village, and one should be an agricultural village.

Kakuuto: is considered to be the most densely forested county in the district, but a major economic activity is fishing which is carried out in Lake Victoria on a rather large scale.

On the basis of these features, it was decided that one village should be a fishing village and one should be a mixed agricultural/forest village.

Kooki: has a large potential of fishing possibilities in Lake Kijanebalola, placed in the very heart of the county, and Lake Kachera in the north-east. Cattle rearing is the most dominating activity, but also subsistence cultivation of matoke and cassava, and fishing are very frequent.

The conclusion, with regard to the 3 villages to be selected from Kooki, was that one should be a cattlekeeping village, one a mixed agricultural/fishing village and one should be purely agricultural.

Kyotera: is dominated by cultivation. A typical farm in Kyotera County produce perennial crops, mainly coffee and matoke, with additional fruit trees here and there. Moreover a large part of the districts industrial- and service sector activities are situated in Kyotera.

On the basis of Kyotera's characteristics it was decided to choose one village (RC1) from Kyotera central zone with the purpose of representing the districts industrial and service sector activities. The remaining two villages should be agricultural.

CODE	RC1-NAME	NO. OF HOUSEHOLDS	VILLAGE TYPE	RDDP ACTIVITIES
1231	KASAGAMA	112	RANCHING	YES
1412	KYAKABAALU /BUYANJA	140	AGRI-CULTURE	
1413	KABATEMERE GAYAZA	135	AGRI-CULTURE	
2512	KAGANDA/ LOGOBE	130	FISHING/ AGRI-CULTURE	
2514	KASENSERO	175	FISHING	
2532	MINZIRO	177	FOREST/ AGRI-CULTURE	NO
1232	KISALUWOKO	150	RANCHING	
3536	KALWAYI/ KYAJUMBA	162	CATTLE-KEEPING	NO
3332	KYAMUKONO/ KYEBOMBA	149	AGRI-CULTURE/ FISHING	NO
3755	KIGIMBI/ LUSOLO	168	AGRI-CULTURE	
4641	CELL NO.11	131	SERVICE SECTOR	
4711	KIBONZI A/B	180	AGRI-CULTURE	
4513	BOTERA	139	AGRI-CULTURE	

The next step was to identify villages within each county which could fulfill the criterias put up. This was done on the basis of analysis of maps, the District Environment Profile and discussions in the group. At the end of this process 13 villages was found immediately suitable. These villages are listed above as proposals.

Further, field-visits to all the proposed villages will be carried out in order to find out whether they can fulfill the remaining criterias or not. These village visits are under preparation and will be implemented in three rounds during the coming weeks.

4.3. A Comment on the Sample Size

In order to carry out the necessary degree of management that

will secure a satisfactory level of quality in the surveys, it was decided to focus on only 10 villages. Moreover it was decided that the numbers of households in each village selected should be fairly alike in order to avoid bias with respect to the concerns already paid to the occupational distribution in the district.

A rough calculation, assuming that the average household-size of the selected villages equals the average of the District (4.6), and that the average numbers of households in the sample villages are ,150, shows, that the sample includes 1.8 % of the total population of the District:

10 villages * 150 households * 4.6 householdmembers = 6900 people

(6,900 / 383,501) * 100 % = 1.8 % of the total population.

Considering the bias-minimizing method in use and the relative large sample size the statistical foundation of the monitoring system should indeed be very justifiable.

5. Selection of the Village-Reporters

Part of the criterias for the selection of the villages was, that qualified candidates for the task as village reporter were available, both for the males, but in particular for the female reporters, since they are to do the main task of up-dating the demographic data, as well as other urgent and sensitive tasks. In the following, the qualifications demanded are described.

The task as a village reporter should not be regarded as a fulltime job, but only to give scope (apart from the census of the first month) for work 6-8 days a month. The reporters are to be permanent residents of the selected villages, i.e. people in "mobile" ages or positions like students are not likely candidates. They should be interested or motivated in the task, maybe already with knowledge of decentralisation or RDDP, but not having any other remunerated task like affiliated with an NGO, Councellor, etc. There is no fixed age limit, rather mature people are preferred, but they should all be mobile throughout the village-area, in particular the women, and all around the year. They shall also occasionally be available for training and meetings in Rakai. Main emphasis is put on reliability, timely keeping of schedules, and a high sense of quality.

Formal qualifications are minimum O-level or past Senior 4. However, for the female candidates, this requirement may be relaxed to some degree. During the field-visits (every village is to be visited three times to call for applications, hold interviews and make tests) the actual qualifications in writing and reading of the candidates are to be tried, because some differences between the formal and the actual qualifications might be expected.

An introductory training-course of four days is planned to be

imparted to the village reporters, containing introduction of the VIMS, field-techniques, application of the topic-questionaires, and practical work in the field. The Terms of Reference of the village reporters is shown in Annex 1 to this paper. Each month the reporters will make a report on the topic of the month. That report is to be collected latest by the 5th of the following month by the staff of the Planning Unit, and at the same time, the token honorarium of USH 15.000,- is paid, and the report of the following month is discussed.

7. Schedule of Implementation of VIMS

The preparations for the designed Village-Wise Impact Monitoring System are under completion, and the Technical Planning Committee was briefed on the system on October, 6. The villages are now to be visited initially up to October, 23, where potential candidates will be called upon. A second round of visits with interviews of candidates will be made from October, 25 up to November, 4, and the village reporters as well as the villages will be finally selected before November, 11. The training course is planned to be imparted from November, 14 - 16, and the census will start immediately after around December, 1.

The staff involved will primarily be the District Statistician, Mr. Charles Mujahurinda, the in-coming District Monitoring Officer, and to a lesser degree the District Planner, Mr. George Kasumba. Support has been given by the Economics Student, Mr. Frank Rothaus Jensen, of Aalborg University.

During November, the data-programme for the census is to be finalised, based upon the dBase3-programme. It is estimated, that the data-transfer from about 1.500 household census-questionaires to data-register will take about 500 manhours (2 persons in 32 workdays). However, this is a one-time exercise, and additional manpower might be appropriate during this process. Analysis of the data-register is planned to be finalised by February, 1995. In the meantime the village-reporters will continue to follow the monthly schedule, and monthly reports are to be produced on different topics.

The schedule outlined above, it should be noted, is subject to the timely arrival and installation of the additional computer in the Planning Unit.

ANNEX L:

Co-operation Project with Uganda Bureau of Statistics

(from Danida: Co-operation Project on Capacity Building in Social Statistics and Poverty Monitoring between Uganda Statistics Department and Statistics Denmark. Project Document, December 1997)

HENRIK A. NIELSEN

Ministry of Foreign Affairs

Danida

Project Document

Co-operation Project on Capacity Building
in Social Statistics and Poverty Monitoring
between Uganda Statistics Department and Statistics Denmark

Uganda

Ref. No. 28.B.99.m.2

December, 1997.

2.2. Statistics and Measurement of Socio-Economic Development

For the purpose of this project description, the statistical measurement of socio-economic development in Uganda is regarded as the relevant 'sector'. An overview of activities and policies within the sector is provided below.

In general, national statistical activities are undertaken by the Statistics Department, now under the MPED. The Department collects and publishes macro-economic statistics (national accounts, finance statistics, price statistics), production statistics (industrial production, labour market) and population and social statistics (migration, population, household surveys). On a sectoral basis, statistics are collected mainly by the planning/monitoring units within the line ministries like Health, Education and Agriculture. As part of the Government's emphasis on poverty eradication and the need for monitoring of the economic reform programmes, a number of specific bodies have been established, the majority of which are donor-funded and project-organised.

Statistical data collection and analysis in Uganda is hampered by the general lack of capacity and resources, both at the national and local level, as well as a lack of co-ordination. As vital registration of births, deaths and population movements is not operationally functioning, although the legal framework has existed for many years, and as regular time-series of different statistical subjects have been interrupted due to the political unrest and lack of resources during the last 50 years, most social statistical information published by the Statistics Department has been generated through infrequent and to some extent sporadic surveys. Similarly, the line ministries have collected limited and more specific sets of data derived from administrative censuses which have also suffered from the social unrest, lack of capacity and continuity. Overall, the co-ordination of the measurement of socio-economic development has not been optimal in the country.

The decentralisation policy of Uganda implies that the need for district-wise information and data has to be addressed. Not only to provide a regional break-down in the national statistics, but in particular to secure that specific and appropriate information collected on a valid basis from the respective local areas is available to the local government and its council for development planning purposes. As seen from Annex 8, this is not the case today, which in particular is of concern for monitoring the gender aspects. Morevoer, with the implementation of the Poverty Eradication Action Plan as shown above, the monitoring of its impact will involve increased statistical measurement at the district level. This is emphasized by the Decentralisation Secretariat which would like to see a pilot-scheme of national-district joint monitoring established in a small number of districts (5-10), supported from the centre. So far, however, only a few districts themselves (e.g. Rakai District, supported by Danida) have tried to establish district-based data collection and analysis in an institutionalised way. But it is important to note, that each district has planning and statistical responsiblities, and that the capacity to accomplish these have been strengthened during the last years by the provision of District Planning Units in all districts, although the capability, manpower and resources of the units varies a lot among the districts.

Finally, a number of independent organisations, mainly related to Makerere University, like the Economic Policy Research Centre, the Centre for Basic Research and the Makerere Institute of Social Research, occasionally provide analytical information on economic or social subjects, often of high, but varied quality.

A bill to establish a new Uganda Bureau of Statistics has been drafted by MPED and approve by the Cabinet in February 1997. The Bill No.4 (Uganda Gazette 11th April 1997), as shown in Annex 10, is to be presented and approved by the Parliament, but as the bill has already been discussed thoroughly during a workshop held in May, including the participation of several of the MPs from the key Sessional Committee on Finance and Planning, no major changes are foreseen during the adoptation process. Statistics Denmark has also contributed as a consultant to the formulation of the Bill, and participated in the workshop. It may be noted, however, that no representative from the local governments or their associations attended the workshop. The Bill aims to establish "the Bureau as the principal data collecting and disseminating agency responsible for co-ordinating, monitoring and supervising the National Statistical System to cover matters specified" (para 4.1). The functions to be performed are to:

" (a) review all initiatives to collect data at the national and local government levels and approve instruments developed for data collection including census frames, registers, sample designs and questionaires;
(b) collect, compile, analyze and publish social, economic and national accounts statistics;
(c) conduct censuses and surveys as the need arises;
(d) collect routine administrative statistics;

(e) produce and publish a range of statistical information;
(f) organise and maintain a central depository of statistical reports, publications, documents and data from both within and outside Uganda;
(g) guide and coordinate local government statistical services;"

(para 4.3)

The Bureau is to be governed by an Executive Director and a Board, appointed by the MPED (apart from a representative of the Institute of Statistics and Applied Economics, Makerere University), the members of which will have qualifications in statistics. It will be a semi-autonomous body as regards recruitment of staff, annual budget, workplans, etc. A national policy in the field of statistics is thus being formulated, and it is expected that the bill will be enacted during this session of the Parliament.

A Poverty Monitoring Steering Committee has been set up specifically to monitor the UNDP-funded Poverty Eradication Unit, as detailed below. However, as the Committee includes most of the national stakeholders in this field (PS/MPED as Chairman, the core Ministries of Finance, Local Development, Gender & Community Development, line Ministries of Agriculture, Health, Education, representatives of donors, NGOs, etc.), it may be an important forum for more general poverty monitoring discusssions. Again, the district-level is not participating so far, and representatives from Uganda Local Authorities Association or Urban Authorities Association of Uganda have not been invited to join in.

2.3. Set-up and Stakeholders

2.3.1. Statistics Department/MPED

Statistics Department is the largest organisation, staffed by about 40 technical statistical permanent civil servant staff plus 40 others on a project contract basis, totalling 80 professional staff. In addition, there are about 20 other permanent staff plus about 140 project support staff, in total 160 support staff employed by the Department. Reorganisation of the Department has been considered for the past few years which has led to the proposed new Bureau. Presently, the Department is organised into 4 sections: macro-economic statistics, production statistics, demographic and social statistics, and finance/administration. In the Social Statistics, there are four sub-units of population, household survey, poverty analysis and migration, all of which deal to some degree with poverty monitoring.

Annex 11.

SUPPORT TO DISTRICTS' STATISTICS

It is envisaged, that the direct support to the production of nationally co-ordinated, but locally collected, analysed and reported statistics at the district-level is designed and implemented as a joint effort between the Statistics Department and the districts concerned. The purpose is double: to avail the Department with data that are compatible with the needs of national statistics, and to avail the local councils and administrations with valid information that is suited to the needs of the districts. Finally, it is envisaged that the joint effort will be less costly and more sustainable.

For the pilot phase, up to 5 districts will be selected, which should include Rakai District, as they already have established a local village-wise impact monitoring system which can be adapted to the national statistical system. Further, it would be an advantage, if the other districts were selected among those which receive capacity building support in planning, local development or sectoral assistance from Danida or other donors.

The support shall be based on the following principles:

* An agreement on the co-operation shall be made between the Statistics Department and the district involved as regards inputs, objectives, indication of results, etc. The contribution from the district shall not exceed 33 % of the recurrent costs the first two years, but may gradually be raised to maximum 50 % by the end of the pilot phase.

* The District Planning Unit, including the District Statistician, will be responsible for the implementation of the district-level of activities with reference to the CAO/District Council.

* Data collection shall be based on extended samples, valid for district-wise estimates, up to max. 400 households depending on the size of the district population. The data collection will be carried out by local data collectors on a regular basis, who will receive training and a monthly honorarium plus a bicycle for transport, etc.

* Data processing and analysis is managed by the District Planning Unit co-ordinated and guided by the Department. Copies of the collected data shall be availed to both the District and the Department. Reporting is made as a seperate district report to the District Council, and as part of the national report.

* The support budget calculations are based on the following units: 5 districts supported over 2 years with approx. Ush. 5 mio. per year, total Ush. 50 mio. Each district has 20 enumerators (10 males & 10 females), monthly honorarium is Ush. 15.000 plus training allowances. Investment costs are 100 bicycles of Ush. 100,000 each, development of the system, basic

training, upgrading of computers (if needed, many districts now have equipment), total Ush. 50 mio.

Further reference to the experiences of Rakai District:

- RDDP: Monitoring and Evaluation of RDDP, October 1993.
- RDDP: Rakai District Village-Wise Impact Monitoring: Design of a System, October 1994.
- Rakai District Administration: (Village-Wise Impact Monitoring System) Profile of Ten Villages: Facilities and Services, August 1995.
- Rakai District Administration: Monitoring Rakai District Development, Consultancy Report, January 1995.
- Annual Review Meeting RDDP, May 1997.

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